

1-1-1981

The role of the college president in senior management evaluation systems.

James J. McCarthy

University of Massachusetts Amherst

Follow this and additional works at: https://scholarworks.umass.edu/dissertations_1

Recommended Citation

McCarthy, James J., "The role of the college president in senior management evaluation systems." (1981). *Doctoral Dissertations 1896 - February 2014*. 3695.

https://scholarworks.umass.edu/dissertations_1/3695

This Open Access Dissertation is brought to you for free and open access by ScholarWorks@UMass Amherst. It has been accepted for inclusion in Doctoral Dissertations 1896 - February 2014 by an authorized administrator of ScholarWorks@UMass Amherst. For more information, please contact scholarworks@library.umass.edu.

312066013295327

THE ROLE OF THE COLLEGE PRESIDENT
IN SENIOR MANAGEMENT EVALUATION SYSTEMS

A Dissertation Presented

By

JAMES J. MCCARTHY

Submitted to the Graduate School of the
University of Massachusetts in partial fulfillment
of the requirements for the degree of

DOCTOR OF EDUCATION

September 1981

Education

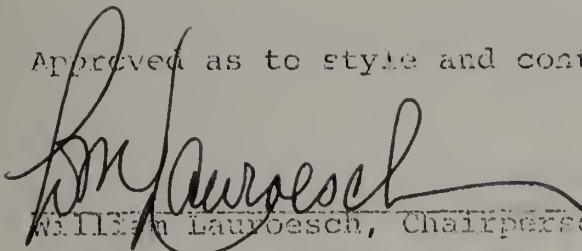
THE ROLE OF THE COLLEGE PRESIDENT
IN SENIOR MANAGEMENT EVALUATION SYSTEMS

A Dissertation Presented

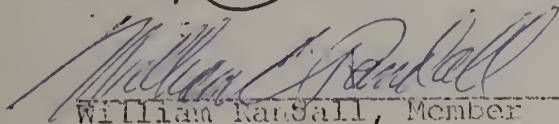
By

JAMES J. MCCARTHY

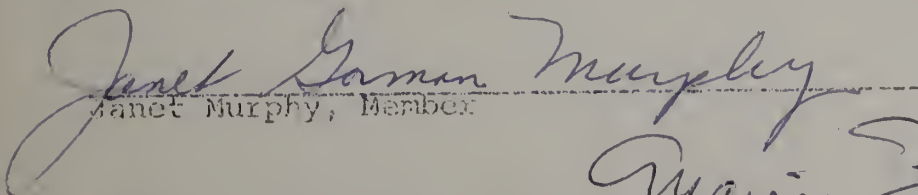
Approved as to style and content by:



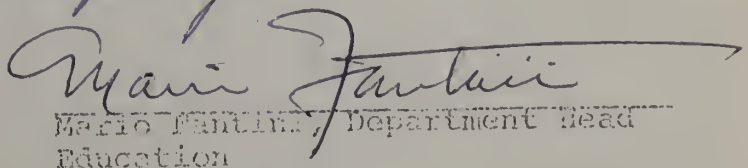
William Laubesch, Chairperson of Committee



William Ransall, Member



Janet Murphy, Member



Mario Fantini, Department Head
Education

DEDICATION

TO

My wife, PATRICIA McCARTHY,
for her support and tolerance in this endeavor.

TO

Dr. JANET GORMAN MURPHY
for providing me with the motivation and opportunity
to seek this educational goal.

TO

Dr. WILLIAM LAUROESCH
for rendering the advice and counsel of a master teacher.

ACKNOWLEDGMENTS

Many people were of invaluable assistance in the conception and writing of this dissertation.

Those serving on my Dissertation Committee have been particularly important. As Chairman of my Committee and advisor throughout my doctoral studies, William Lauroesch's counsel, criticism, and support have helped immeasurably. Janet Murphy has provided motivational support from the very beginning of this endeavor. Also, I have benefited from William Randall's understanding and his empathic assistance.

Richard Bjork, Chancellor of the Vermont State College system, has been a steady tutor of the research design and methodology. His insightful questions and ability to restate matters in simple terms eased a sometimes tedious process. John DeLeo and Ronald Addison helped develop my interest and knowledge in educational research.

In the typing and editing of the dissertation, I am indebted to Brenda Wheeler, Sandra Austin, Janet Charron, and A. Richard Boera.

Finally, a special thanks to my children: James, Mary Ellen, Christopher, and William.

ABSTRACT

The Role of the College President In Senior Management Evaluation Systems

(September, 1981)

James J. McCarthy

B.A., Fairfield University

M.Ed., Springfield College

Ed.D., University of Massachusetts

Directed by: Professor William Lauroesch

This study was concerned with the role of the small-college president in determining both the function of senior administrator evaluation and the significance attached to that activity.

The sample population ($N = 18$) included presidents, vice-presidents for academic affairs, and deans of student affairs in six small (under 5,000 FTE) public colleges in three New England states (Maine, Vermont, and New Hampshire). Each of the colleges in the sample is a unit of a multi-campus state system, and all have similar administrative structures.

Data were collected by means of structured interview (two with each subject) and administration of an instrument to elicit views on the significance and function of both purposes and formats of senior management appraisal systems

cited in the literature. The researcher hypothesized:

(1) that there is no significant difference between the perception of the president and senior administrators in relation to the level of significance of general managerial practices which influence the significance and function of performance appraisal, and (2) that there is no significant difference between the response of presidents and senior administrators in the consistency of performance exhibited by selected college presidents in relation to the identified general managerial practices.

Using the Kruskal-Wallis one-way analysis of variance by ranks, with an alpha at the .05 level, the researcher tested his two hypotheses in the null form and found that neither could be rejected. Further analysis consisted of expectant wise calculation at the .05 level to determine where between-group differences lay.

On the basis of six general findings, the researcher drew two conclusions:

1. Significant managerial discrepancies between "desired" approaches to senior administrator evaluation and "actual" practice, particularly with reference to why, how, and what happens as a consequence of the process, diminish the value of the evaluative process.
2. The significant managerial discrepancies that exist

are an impediment to creating an atmosphere and an inclination to bring about practices more consistent with what presidents and senior administrators agree are desirable.

TABLE OF CONTENTS

ACKNOWLEDGEMENTS	iv
Chapter	
I. INTRODUCTION TO PROBLEM AREA	1
The Problem	6
The Purpose of the Study	8
Design of Study and Treatment of Data	9
Subjects and selected institutions	12
Delimitations	13
Definition of Terms	14
Need For and Significance of Study	16
Order of the Presentation	18
Confidentiality of the Data	19
II. THE LITERATURE OF ADMINISTRATIVE PERFORMANCE REVIEW	20
The Purpose and Function of Performance Appraisal Systems	20
Pressures and demands from external sources	21
Improvement of performance of individual administrators	22
Improvement of organizational functions	23
Significance of Senior Management Performance Appraisal as an Administrative Function in a College	29
Informal evaluation	30
Evaluation and Organizational Development	33
Evaluation and Professional Development	36
The Role of the College President in the Establishment and Implementation of a Senior Management Evaluation System	45
III. METHODOLOGY	59
Introduction	59
The Research Design	60
Subjects and Selected Institutions	64
The Design of the Interview Format and Interview Instrument	66
Interview format: Phase One	68
Managerial behavior instrument: Phase Two	68
The Data Analysis	69

Chapter

IV. FINDINGS	72
Introduction	72
Characteristics of Selected Institutions	72
Characteristics of Sample Population	76
Phase One Interviews	82
General Views on Senior Management Evaluation Systems	85
General Views on Current Methods and Approaches to Performance Appraisal of Senior Administrative Personnel	90
General Views on the Significance of Performance Appraisal as a Management Function Within the Organizational Structure of a College	97
General Views on System For System Management Evaluation Employed at Respondent's Institution	102
General Views of the Role of the President in Determining the Significance and Function of Senior Management Performance Appraisal Systems	107
Phase Two Interviews	112
Assessment of Current Approaches and Practices	125
General Findings	129
V. CONCLUSIONS	131
Introduction	131
Discussion of General Findings and Conclusions	132
General managerial practices	132
Consistency of managerial practice	134
Managerial discrepancy	134
Status as a management function	138
Key role of the college president	140
General Conclusions	141
Limitations of Study	141
Areas For Further Research	142
.	
BIBLIOGRAPHY	148
APPENDIX	164

LIST OF TABLES

1.	Organizational Structure of State Systems of Which Colleges in the Sample are a Part	73
2.	Comparative Enrollment Data for 1980-81 in Sample Institutions Reflecting Full-Time Equivalency Count	75
3.	Total Number of Years Individuals in the Sample Population Have Occupied Their Present Position	77
4.	Salary Ranges of Presidents and Senior Administrators in the Sample Population	80
5.	Primary Purposes of Senior Management Performance Appraisal	86
6.	Performance Appraisal Relationship to Job Description/Function of Senior Administrator . .	87
7.	Relationship to Organizational Development of Institution	88
8.	Relationship to Professional Development of Senior Administrators	89
9.	Unstructured Narration Method	91
10.	Unstructured Documentation Method	92
11.	Structured Narration Method	93
12.	Structured Narration Method (Rating Scales) . . .	94
13.	Structured Documentation Method	95
14.	Management by Objectives/Planning Objectives Method	96
15.	The Impact of Systematic Performance Appraisal on Organizational Operations	98
16.	The Impact of Systematic Performance Appraisal on Administrative Performance	99
17.	The Impact of Systematic Performance Appraisal on Professional Development Programs and Activities	100
18.	The Impact of Systematic Performance Appraisal of Senior Managers on Assessment of Presidential Performance	101
19.	Prioritized Purposes of Current System of Performance Appraisal at Sample Institutions . .	103
20.	Relationship of Current System of Performance Appraisal to Salary, Retention, Promotion at Sample Institutions	104
21.	Relationship of Current System of Performance Appraisal to Professional Development Activities in Sample Institutions	105
22.	Relationship of Current System of Performance Appraisal to Organizational Development in Sample Institutions	106

23.	The Role of the College President in the Development of the Purpose and the Design of Senior Management Performance Appraisal Systems	108
24.	The Role of the College President in Determining the Deployment of Administrative Time and Energy in the Systematic Appraisal of Senior Administrators	109
25.	The Role of the College President in Assessing the Benefits to the Institution From the Systematic Performance Appraisal Process	110
26.	The Role of the College President in Determining the Role of Senior Managers in Development, Design, and Implementation of Performance Appraisal Systems	111
27.	Significance Scale Scores Chief Student Affairs Officers Rating the Significance of General Managerial Practices of College Presidents	116
28.	Significance Scale Scores Chief Academic Affairs Officers Rating the Significance of General Managerial Practices of College Presidents	117
29.	Significance Scale Scores of College Presidents in Rating the Significance of General Managerial Practices	118
30.	Comparative Scores in Rating the Significance of General Managerial Practices of College Presidents	119
31.	Performance Scale Scores Chief Academic Affairs Officers Rating the Degree of Managerial Practice Exhibited by College Presidents	120
32.	Performance Scale Scores Chief Student Affairs Officers Rating the Degree of Managerial Practice Exhibited by College Presidents	121
33.	Performance Scale Scores College Presidents Rating the Degree of Managerial Practice Exhibited by College Presidents	122
34.	Comparative Scores in Rating the Degree of Managerial Practice Exhibited by College Presidents	123

CHAPTER I

INTRODUCTION TO PROBLEM AREA

The top management structure of the American higher education enterprise was at one time perceived as being the college president, alone. The essential, if not the only, qualification for the position was that he be a member of the clergy (Cowley, 1980, p. 53). With the evolution of American colleges and universities, the top management structure has changed. Today, administration of higher education institutions is no longer synonymous with the singular function or role of the presidency. To meet the multi-dimensional demands of running today's colleges and universities, the president has been joined by an administrative team, each member specializing in a particular aspect of the management operations of the institution.

With the advent of this phenomenon, there has occurred, also, a change in approaches to assessment of the administrative performance structure of colleges and universities. Evaluation of the management of a higher education institution must now reflect not only the performance appraisal of the president, but also the performance evaluation of the senior administrators. This broadening of the scope of evaluation has led to scholarly interest in the integrated

relationship between the role of the president in evaluation and the assessment of the senior management team, specifically the performance appraisal of senior administrators. The emergence of a considerable amount of literature dealing directly or indirectly with the evaluation of college and university operations and management suggests a growing concern for the assessment of senior management administrative performance (Farmer, 1979, p. 6; Fisher, 1978, p. 115; Miller, 1979, pp. 155-157).

Even so, in contrast to the emphasis higher education has begun to place on the evaluation and the development of faculty, there has been far less development in the area of systematically assessing the performance of senior administrators (Shtogren, 1978, p. 1). In 1976, a status report of the American Association of State Colleges and Universities (AASCU) reinforced the proposition that formal administrative evaluation was a weak component in the management structure of higher education institutions (Surwill & Heywood, 1976, p. 11).

This study clearly substantiates the fact that evaluation of administrators in higher education is a woefully neglected area and, at its best, the state of the art is primitive. There are a few encouraging signs of concerned administration taking action. Significant changes must be made

by professionals in the evaluation or others will make them for us. New and creative procedures for examining human endeavors will nurture new growth and often a better understanding of the complex field of administrative evaluation. (Surwill & Heywood, 1976, p. 11)

Systematic senior management performance appraisal programs are, however, growing in number. On the basis of a survey of the membership of AASCU, Surwill and Heywood projected that, by 1977, 45 percent of these institutions would have systematic evaluation procedures for administrators. Although these projections show the majority of institutions have no formal evaluation system, they do indicate a strong growth in such systems from the early 1970's.

The reasons for systematically evaluating senior college administrators can be divided into three categories. First is that of pressures and demands for evaluation by external and internal sources. The second category includes reasons related to the improvement of the performance of individual administrators. The third category speaks to improved organizational functioning that goes beyond the sum of improvements in individual performance (Nordvall, 1979, p. 4).

The first category is discrete. It addresses the

separate issue of accountability. The second and third categories--improvement of individual performance and institutional functioning--are interdependent. As Richardson (1975) points out, the ability of an organization to grow and change is tightly interwoven into the development of its administrators (pp. 304-305). Additionally, Lahti and others suggest that the relationship between individual development and institutional development is a result of a smoothly functioning performance appraisal system. Lahti contends that such a system will enable the organization to measure its overall proficiency and the effectiveness of its selection and training procedures. Clearly, the implication is that the maximum use of human resources requires performance appraisal as an essential element (Hardy, 1972, p. 109; Lahti, 1970, p. 62).

The focus of this study has been on exploration of the relationship between the systematic performance appraisal of senior administrators and the role of the college president in that process. For purposes of this study, senior administrators are defined as top-level personnel in an institution, directly responsible to the president or chief executive officer, with management responsibility for a primary organizational component of the institution, e.g., typically the vice-president for academic affairs, dean of student affairs. The general scope of this study has been limited

to viewing the role of the president in small/medium size institutions of public higher education (FTE under 5,000).

In such an institution, the role of the president is an important variable in the development and establishment of an evaluation system for senior management personnel. Research supports the premise that whoever determines why it is done, how it is done, when it is done, what happens because of it, and what does not happen because of it, has a controlling influence on significance and function of senior management evaluation systems (Anderson, 1967, p. 12; Halsabech, 1973, pp. 73-75; Miller, 1974, pp. 80-81; Van De Visse, 1979, pp. 55, 127-129).

The president, especially at a small institution, is the most important resource in bringing about a systematic change within the administrative structure. In monitoring or establishing a senior management performance appraisal system, the president is assessing planned change. Planned change fundamentally is a campaign to move an organization toward its image of the future on a timetable that is both desirable and feasible. The responses to change, planned change, and the direction of the institution are vital ingredients of the evaluation atmosphere. As Brown (1979) points out in his comments on "Leadership Vitality" of college presidents:

Among essential talents, the most crucial is

the capacity to provide a sense of direction. Direction, vision, integrity, and coherence, are distinctive responsibilities of the leader. The leader's highest mission and most essential talent is to know, to shape and to articulate what the college or university is becoming. (p. 57)

If one may assume that there is a direct relationship between the assessment of senior administrative performance and the evaluation of the general operations of the institution, then it could follow that a senior management evaluation system not only assesses the performance of administrators, but, probably more significantly, it evaluates the organizational behavior and objectives of the president.

The Problem

The assumption that the college president in a small/medium size institution of higher education is an important variable in determining the function and significance of a senior management evaluation system raises several issues:

1. How does the president's leadership and administrative style influence the systematic performance appraisal of senior managers?

2. Can one identify general managerial practices of college presidents which influence the value and utility of

a senior management evaluation system?

3. What is the relationship between the systematic assessment of the performance of the college president and the performance appraisal of his/her senior administrators?

4. Do the college president and the senior administrator approach the evaluation process with similar perceptions as to its importance and function?

5. Can one identify environmental factors which influence the college president's confidence in the utility of formal senior management evaluation systems?

This research undertaking has focused primarily on only two of these issues: (1) the identification of general managerial practices of college presidents in small/medium size institutions of public higher education which influence the significance and function of senior management evaluation systems; and (2) a comparative analysis of college presidents' and senior administrators' perceptions of "desired" and "actual" approaches in the management of senior administrator performance appraisal systems.

The problem, as identified by the researcher, is that little or no attention has been given to the perceptions of college presidents and senior administrators regarding the existence of an "organizational and managerial discrepancy" (see Definition of Terms, p. 15) between the significance and function of senior management performance appraisal

systems as to how it should be and how it actually operates in their particular institutions.

The research of others has contended that one can identify general managerial practices of college presidents which influence the significance and function of senior management evaluation systems. The generalized managerial practice is defined in relation to what presidents should do as a general rule. There is no guarantee that this type of managerial practice is or should be applicable to all small public higher education institutions. This endeavor was to identify past practices of chief executives which have proven to have a beneficial effect on management of performance appraisal systems.

The Purpose of the Study

Research literature indicates that it is possible to determine generalized managerial practices of chief executives which influence the importance and utility of senior management evaluation systems (Berquist & Tenbrink, 1978, p. 149; Farmer, 1979, p. 11; Fisher, 1977, pp. 4-5). However, to what extent these identified managerial practices are exhibited at a particular institution is another question. Also in question is whether the presence and significance of these managerial practices of the particular college president are viewed in a similar fashion by both the

senior administrator and the institution's chief executive.

The primary purpose of this study has been to compare the perceptions of college presidents and senior administrators in relation to identified general managerial practices of chief executives which influence the significance and function of senior management evaluation systems.

The secondary purpose of this study has been to assess the perceptions of college presidents and senior administrators in relation to "desired" and "actual" approaches/practices in the management of administrator performance appraisal systems.

The study was conducted in selected public higher education institutions in Vermont, Maine, and New Hampshire and focused on the perceptions of the college president, chief academic affairs officer, and chief student affairs officer at these respective institutions.

Design of Study and Treatment of Data

From a review of the literature, the researcher drew support for the identification of the role of the president as a key determiner in assessing the design and utility of formal senior management evaluation systems (Farmer, 1978, pp. 48-49; Kauffman, 1980, p. 97; Webster, 1978, p. 120). In addition, a variety of managerial practices have been identified which influence the significance and function of

senior management evaluation systems in higher education (Higher Education Management Institute, 1978, pp. 11-13).

However, to the knowledge of this researcher, there is limited research in assessing whether college presidents possess congruent views on the significance of these identified managerial practices or whether senior administrators and college presidents at particular institutions approach the value and utility of senior management evaluation with similar degree of significance.

This investigation was a pilot study inquiring into how small institutions of higher education approach senior management evaluation and to determine the significance attached to this function by the evaluator (college president) and the subjects of evaluation (senior administrators). The accomplishment of this goal was a quadripartite process:

1. Through a search of literature, to identify and analyze current purposes and approaches in senior management evaluation in public higher education and to identify the general managerial practices of college presidents which contribute to its value and utility.

2. To conduct, at selected colleges in Vermont, Maine, and New Hampshire, interviews with the college president and the chief academic and student affairs officers to ascertain their views and perceptions on current approaches/practices

in senior management evaluation, generally and specifically to the established system at their respective institution (Interview Guide appended).

3. To conduct a comparative analysis, through the use of a systematic instrument (in an interview atmosphere), of the perceptions of selected college presidents and senior administrators of general managerial practices of the chief executive which influence the significance and function of senior management evaluation systems (Interview Instrument appended).

In the interviews (the major method of data collection for this study), the researcher was trying to find out how presidents and senior administrators view the evaluation process in relation to what it should be and what it is. It was an attempt to explore the existence of organizational and managerial discrepancies in a chief executive's and an institution's approach to senior management evaluations.

4. To draw conclusions based on a systematic assessment of the perceptions of selected college presidents and senior administrators on: (a) the role of the college president in influencing the significance and function of senior management evaluation systems, (b) the value and utility of performance assessment as an administrative function at selected institutions, and (c) the degree of congruence or incongruence between the perceptions of college

presidents and senior administrators at selected institutions in relation to the significance and function of evaluation systems.

Subjects and selected institutions. The institutions were not selected through the random sample technique. Because of the need to develop a familiarity with the institutional and administrative environment of each institution, the researcher selected institutions in a rural area and within accessible geographic distance. Therefore, the findings of the study are limited in their application to other similar institutions. However, the research technique employed may find merit in application to other small/medium size institutions of higher education.

The selected institutions, with FTE enrollments under 5,000, include:

Castleton State College of Vermont

Johnson State College of Vermont

University of Maine at Augusta

University of Maine at Farmington

Keene State College of New Hampshire

Plymouth State College of New Hampshire

The target personnel for this study were consistent with the current administrative structure of a small/medium size higher education enterprise. At most colleges and

universities, both the chief academic affairs officer and the chief student affairs officer are considered to be members of the top management team. For the purpose of this study, the president, chief academic affairs officer, and chief student affairs officer were selected as the target personnel at each selected institution.

Delimitations

The researcher has imposed the following limits on the study:

1. The sample included in this study was neither randomly selected nor statistically representative of all public higher education institutions.
2. For manageability, the investigation was conducted in six four-year public institutions of higher learning in Vermont, Maine, and New Hampshire.
3. For the purpose of this study, the evaluation of performance appraisal of the college president was not subject to comprehensive attention or study, with the exception being only where it applies or relates to the evaluation of senior management personnel.
4. Although attempts were made in the design of this study and in the administration of the research instrument to exert some control over extraneous factors, it is not possible to identify and manage all of them. Consequently,

the results of this study are not as definitive as those that would have been derived if an experiment were conducted. Nevertheless, plausible explanations for causal relationships and connections between variables and outcomes are reported as part of the description of the research methodology and data analysis.

Definition of Terms

For the purpose of this paper, the following definitions are presented in order to generate clarity and uniformity of various terms and concepts.

Administrative team: a cluster of managers sharing a similar role and status (community of interest) within an organization and striving toward established goals and objectives.

College president: chief executive officer of an institution of higher education.

Function: pertains to a specific operational mode in the managerial environment with relationships as to why and how something is to be done or accomplished.

Institutional environment: the prevailing attitudes, standards, or environmental conditions affecting the work behavior of employees and groups in academic organizations (Halpin & Croft, 1972).

Leadership: the possession of interpersonal skills

needed to successfully initiate, coordinate, and complete planned activities involving individuals, groups, and organizations.

Managerial discrepancy: an identifiable discrepancy between an administrator's "actual" performance and "desired" performance (Mager, 1973).

Managerial practices: those behaviors or actions exhibited by an administrator to accomplish predetermined objectives or results, generalized through consistent application and response in similar situations and circumstances (Argyris, 1964).

Organizational discrepancy: an identifiable discrepancy between the "actual" operational mode of a particular administrative service area and the "desired" operational mode (Argyris, 1964).

Performance evaluation and performance appraisal: a process of review to assess individual performance in relation to formalized criteria and to make value judgments concerning this assessment for the benefit of both the individual and the institution (Anderson, 1975).

Senior management personnel and senior administrators: the top-level administrators in an institution, directly responsible to the president or chief executive officer, with management responsibility for a primary organizational component of the institution, e.g., vice-president of

academic affairs, dean of student affairs.

Significance: denotes something that is conveyed as important in the organizational environment and indicative of a high priority managerial concern.

Need For and Significance of Study

This study should assist college presidents and senior administrators in determining the importance of a formal evaluation system in relation to the managerial practices of a college president. The data collection technique, analysis, and implications should prove helpful in developing a clear understanding of the significance of the role of the president and the perceptions of the administrators in establishing and maintaining a functional evaluation system.

A major benefit of the study was to discover whether there is a managerial discrepancy between what the president professes as desired managerial practice in relation to senior management evaluations, and his/her actual managerial practice as perceived by him/herself and selected senior administrators.

A president may support a strong attitude on the significance of senior management evaluations. The president may also feel that his/her managerial practices reflect a visible dedication to the importance and function of senior management. However, the subjects of the evaluation process

(the senior administrators) may not view the managerial practices of the president as illustrative of one who supports the importance and value of a senior management evaluation system.

It may be true that all presidents (as with most people) reflect, to some extent, inconsistencies between what they say (or think) and what they do. It would seem to be the case, however, that the degree of inconsistency could have a significant impact on the organizational health of the institution and on the relationship between the president and key administrative personnel.

Because of the recognized strong influence of informal modes of evaluation and the demonstrated value of a formal process, there is a need to explore and identify the factors which will enhance the development of systematic approaches to performance appraisal.

The study may also assist in identifying the positive relationship between the evaluation of senior management personnel and the performance appraisal of the college president.

Probably the most significant aspect of this study is support for the premise that college presidents should demonstrate a visible consistency between their conviction and practice in relation to the value and significance of senior management evaluations. The president's energy,

time, and skill devoted to senior management evaluation and the development of his/her top administrative personnel has a direct relationship to the performance appraisal of the president and the organizational development of the institution.

Order of the Presentation

In order to aid the reader, it is appropriate at this point to indicate how the remaining sections of this dissertation are organized and what their content includes.

Chapter I provides an overview of the study. It contains an introduction to the problem area, a statement of purpose, study design, study delimitations, and the significance of the study. The introduction to Chapter I briefly enumerates the various issues associated with the development and status of senior management evaluation systems and the role of the college president in the process. The Purpose of the Study clarifies the objectives of the inquiry and the Design of the Study describes the qualitative methodological approach employed in this investigation. Delimitations outlines the constraints and drawbacks and the Significance of the Study discusses the contributions of the study to the field.

Chapter II is devoted to a review of the relevant literature on the current approaches and practices of senior

administrative evaluations in public higher education as related to: (a) the purpose of performance appraisal systems, (b) significance of senior management performance appraisal systems as an administrative function, and (c) the president's role in the establishment and implementation of senior management evaluation systems.

Chapter III details the methods employed in the study. The chapter reviews the design of the study, addresses the development of the interview guide, discusses the data points selected, and presents the methods of analysis employed in analyzing the interview data.

Chapter IV focuses on the descriptive presentation and analysis and interpretation of the data, and a discussion of the theoretical and practical implications of the findings.

Chapter V presents a summary and the investigator's conclusions based on those findings. Implications for further research and practice are discussed.

Confidentiality of the Data

All data gathered and disseminated as part of this study has been treated with full respect for confidentiality. The names of interviewees are at no time identified, and only the researcher has access to interview materials.

CHAPTER II

THE LITERATURE OF ADMINISTRATIVE PERFORMANCE REVIEW

The focus of this study has been on the exploration of the relationship between the systematic performance appraisal of senior administrators and the role of the college president in that process. An additional objective was to assess the importance of senior management performance appraisal as a management function in a higher education institution.

The literature survey has been carried out to provide a pertinent background for this inquiry. The review is separated into three sections: (1) the purpose and function of performance appraisal systems, (2) the significance of senior management performance appraisal as an administrative function in a college, and (3) the role of the president in the establishment and implementation of a performance appraisal system.

The Purpose and Function of Performance Appraisal Systems

Recent interest in administrative evaluation is part of the trend toward total institutional evaluation and development. This has been prompted in part by a general

appreciation of the need to improve the management of colleges and universities, especially within multi-campus systems.

The reasons for systematically evaluating senior college administrators can be divided into three categories. The first is that of pressures and demands for evaluation by external and internal sources. The second category includes reasons related to the improvement of the performance of individual administrators. The third category of reasons concerns improved organizational functioning that goes beyond the sum of the improvements in individual performance (Nordvall, 1977, p. 4).

Pressures and demands from external sources. Several writers have contributed in identifying the "pressure points" for senior management evaluation emanating from within and outside institutions of higher education:

1. To help answer the external demands for accountability from government, trustees, alumni, and the general public, and thus improve the credibility of the administrative process (Fisher, 1978, p. 4).

2. To help answer the internal demands for accountability from faculty and students (Fisher, 1978, p. 4); to satisfy the contention of faculty that the student evaluation of faculty should be matched by faculty evaluation of

administration (Cousins & Rogus, 1976, p. 92).

3. To assess the impact of legal issues and legislation related to collective bargaining (Surwill & Heywood, 1976, p. 4); antidiscrimination (Cousins & Rogus, 1977, p. 92); job security (Clifford, 1976, p. 2); and mandatory retirement (Scott, 1978, p. 28).

Improvement of performance of individual administrators.

Probably the most frequent justification for systematic assessment of senior administrators is seen in its potential for improving performance:

1. To motivate employees by providing feedback on how they are doing and to help or prod supervisors to observe their subordinates more closely and to do a better coaching job (Oberg, 1972, p. 61).

2. To serve as a basis for modifying or changing behavior toward more effective work habits (Levinson, 1972, p. 30).

3. To condition the professional and personal growth of the individual (Fisher, 1977, p. 4; Koontz, 1971, p. 54); to improve internal mobility by identifying people with promotion potential (Oberg, 1972, p. 61); to help administrators plan future career decisions (Surwill & Heywood, 1976, p. 4).

4. To provide information on the perceptions of

others, with whom the administrator works, about his/her performance (Anderson, 1976, pp. 27-33; Berquist & Tenbrink, 1978, p. 149).

5. To clarify and improve the job function of the administrator (Berquist & Tenbrink, 1978, p. 149); to develop individual performance objectives that are consistent with institutional goals (Fisher, 1977, p. 4; Surwill & Heywood, 1976, p. 5).

6. To improve an administrator's skill in functioning as a member of the management team (Hall & Leidecker, 1974, pp. 213-214).

Improvement of organizational functions. Berquist and Tenbrink and others have summarized the benefits of senior management evaluation in relation to improving management and operation of the institution:

1. To establish a management information data base for personnel decisions (Oberg, 1972, p. 61; Levinson, 1972, p. 30); to attract and retain competent administrators (Hayes, 1976, p. 41).

2. To improve function of the management team and coordination of organizational functions (Berquist & Tenbrink, 1978, p. 150; Fisher, 1977, p. 5).

3. To provide consistency between administrative action and institutional mission and objectives (Farmer,

1979, p. 11; Jarvis, 1979, p. 11).

4. To validate the selection, retention, salary, and promotion process (Farmer, 1979, p. 12; Fisher, 1977, p. 4).

5. To improve organizational development by identifying people with promotional potential and pinpointing development needs (Zion, 1977, p. 7).

6. To expand participation in decision-making by permitting staff input in personnel processes (Farmer, 1979, p. 11).

7. To generate data on factors which influence administrative effectiveness (Berquist & Tenbrink, 1978, p. 149).

Even with the aforementioned factors supporting the need for systematic evaluation of senior managers, its value is far from universally accepted. Charles Farmer presents three basic arguments against pursuing the establishment of a senior administrative evaluation system. First, the diversity of programs, leadership roles, and opinions about education among those participating in the process all combine to make any system of evaluation unworkable. Second, there are no proven techniques available that are satisfactory for senior management evaluation in higher education. Third, evaluation will inevitably be a political process where subjectivity overwhelms the quest for objectivity. Farmer believes, however, that adequate counter-arguments exist for these objections to evaluation:

diversity can be accommodated by flexibility in the evaluation process; there have been evaluative techniques used effectively in higher education; and evaluation systems can be built in with safeguards against excessive subjectivity (Farmer, 1979, p. 4).

Dressel (1976) lists four additional problems associated with the establishment and implementation of senior administrative evaluation systems: first, the definition of administration in terms of the related concepts of management and leadership; second, the determination of the power that an administrator has (in light of the great variances in legal and hierarchial frameworks of higher education institutions), so that the evaluation properly relates to the administrator's functions and the authority he/she is delegated; third, the lack of generally accepted, clear criteria for determining successful administration; fourth, the fact that in dealing with multiple constituencies, administrators often purposely communicate in ambiguous ways (pp. 376-382). Lahti (1973) offers a response to Dressel's concerns, not in questioning their validity, but rather in cautioning that these issues be considered in the design and operation of senior management appraisal systems (p. 491).

While many reasons are offered for the establishment of formal administrative evaluation programs, arguments against these programs are to be expected, since evaluation is often

perceived as a threatening process. The threatening nature of evaluation notwithstanding, those writing about administrative evaluation by and large assert that it is desirable and necessary.

As a goal of evaluation, administrative development appears the least threatening justification and has the fewest critics. Yet, if the development of the individual administrator leads to broader strategies or organizational development, it is more threatening to the status quo than evaluation because it seeks to change the atmosphere of the total organization (Nordvall, 1977, p. 14). Evaluation, however, if conducted effectively, should lead to an administrative development program. Sound evaluation programs lead inevitably to individual development programs, since the goal of better management is not satisfied by merely noting areas of needed improvement. The improvements must be sought. Thus, some writers believe that organizational development is a necessary result of individual development programs (Boyer & Grasha, 1978, p. 41; Fisher, 1977, p. 4; French, 1969, p. 18; Richardson, 1975, p. 46).

This review has provided some insight into the factors which have influenced the development of senior management performance appraisal systems. The primary considerations seem to be in the areas of administrative accountability, organizational development, and individual professional

development. Farmer (1978) has emphasized that much of the current emphasis on the evaluation and development of academic administrators in fact originates from the trend toward institutional evaluation which, of necessity, includes an assessment of all groups in the education enterprise (p. 42). Genova (1976) believes that the primary function of administrative evaluation is to form a basis for establishing and attaining institutional goals. Beneath the cover of the primary purpose, Genova and his associates listed nine subordinate functions. In addition to their nine, Sprunger and Berquist (1978) identified an additional three. Farmer (1979) clustered the twelve functions into three categories: formative, summative, and institutional. The three categories help identify the primary and secondary reasons for beginning the process of senior management evaluation.

Formative functions. The emphasis here is on improving performance by providing diagnostic information to individuals and groups so that remedies can be found:

1. To serve as a basis for administrative development.
2. To provide administrators with perceptions of their performance.
3. To improve management team skills.
4. To determine factors which influence administrative effectiveness.

Summative functions. These are more after-the-fact than formative and relate to "bottom line" decision-making:

1. To determine retention, promotion, and salary.
2. To develop and measure administrative service area planning objectives.

Institutional functions. In the process, institutional functions have a broader focus than providing information for improving or ranking administrators. Whether reasons are internal or external to the institution, evaluation data have impact beyond a single administrator or a group of administrators. They help:

1. To define desired administrative roles.
2. To assess administrative resource allocations.
3. To provide data on the degree of congruence between institutional policy and administrative action.
4. To extend participation in decision-making.
5. To serve as a model or inducement for other evaluation processes.
6. To increase awareness of administrative efforts and achievements (Farmer, 1979, pp. 10-11).

The categories and identified functions can be useful for organizing reasons for senior management performance appraisal. Farmer (1979) cautions, however, that rarely will an institution begin with a single reason in mind, or even a single category of reasons. There are often

multiple or interlocking reasons for such an undertaking (p. 11). Zion (1977) expands this concern in calling attention to the singular identification of reasons or functions because each function or objective in the establishment of senior management evaluation requires particular techniques and often requires the involvement of different types of people (p. 11).

Significance of Senior Management
Performance Appraisal
as an Administrative Function in a College

The direction of an organization is reflected, according to Drucker (1977), to some extent in relation to where management would like to go. Management is responsible for continually assessing what should be happening and determining how to make it happen (p. 14). Buchele (1977), utilizing the process theory, describes the essence of management as comprising the key functions of planning, controlling, organizing, staffing, leading, and assessment. Each of the administrative processes are interrelated in the overall operations of an enterprise (pp. 96-98). Performance appraisal is a component of the assessment function of a higher education institution.

This section of the literature review concerns the importance of senior management performance appraisal as an

administrative function in a college. Fisher (1979) indicates that it is now apparent, as a general consensus, that an institution of higher education will increasingly be required to be formally responsive in the assessment of its operations. The formal evaluation of administrators will complement the informal evaluation environment (p. 85).

Winstead (1978) cautioned that among the most serious tasks of college presidents today is the integration of institutional problem-solving and performance evaluation of the institution. He goes on to say that management processes need to be developed which allow higher education institutions to achieve optimum results while maintaining their capacity to change, to be relevant, to be meaningful, and, most importantly, to be accountable (p. 88).

In order to assess systematic senior management performance appraisal as an administrative function, the researcher sought to survey its relationship to: (a) the informal evaluation process, (b) organizational development, (c) professional development of the senior administrator, and (d) common managerial practices in performance appraisal.

Informal evaluation. Every institution will contain an informal evaluation system at work. Presidents, vice-presidents, and deans will be continually subject to

conversations by their peers, faculty and the students. Such activity is the sign of an open institution and is normal organizational behavior, in no way pathological. Astute administrators will know how to handle and use the communications they are receiving from the informal system. The informal system also has its limitations. As colleges and universities become more complex, the informal system often proves insufficient (Anderson, 1975, p. 72).

People who study and propose evaluation systems quite naturally want to go beyond the informal system to something better. Someone who is satisfied with the informal system will not be motivated to study alternatives. Disenchantment with the informal system is not, however, universal. Some believe that education is naturally an inefficient process and attempts to apply more efficient management techniques to it may lead to poor results. This is because those who expose these techniques are more interested in efficiency and the perquisites of power than they are in the real work of the institution--acquiring and disseminating knowledge--which is carried on by faculty and students (Galligan, 1977, p. 43).

Fisher (1977), Farmer (1979), Zion (1977), and Anderson (1972) have continued to dwell on the problems associated with informal evaluation modes and communications, pointing out that evaluation of one, and/or another, inevitably takes

place. People have opinions about the quality of the work of others, and these opinions are expressed. Organizations must make decisions about hiring, retention, promotions, and salary. Where there is no formal evaluation system, the informal evaluation provides at least part of the basis for these decisions. So the question is not whether evaluation will take place, but rather how it will take place (Shtogren, 1978, p. 11).

Informal approaches to evaluation arise naturally when standards of performance are unclear and difficult to specify. With such unclear standards, there is a tendency to concentrate on traits such as ability to work well with others and fairness rather than achievements (Sprunger & Berquist, 1978, p. 249). When criteria are unclear for evaluation, there is no standard against which performance is judged (Rasmussen, 1978, p. 24). Decisions made under such circumstances may provide the basis for personnel decisions, but the process is inadequate for serving other functions of an evaluation system, such as providing a basis for development of the administrator, giving evidence of the degree of congruence between administrative action and institutional goals, or service area planning objectives (Sprunger & Berquist, 1978, p. 249).

Evaluation and Organizational Development

A senior management performance appraisal system should provide linkage to the institution's operational environment. It should be set in a unifying framework. Such a framework must relate the administrators' actions to the effectiveness of the college or university as a total organization and must allow for considerable variation in the characteristics of the college. Winstead (1978) has identified four of the most commonly used criteria for organizational effectiveness as composite criteria. These are goal formation, goal attainment, resource acquisition, and membership satisfaction. The capacity of an organization to establish and accomplish organizational purposes that are acceptable to a majority of its members is one indication of its effectiveness (p. 14).

For an organization to attain its goals, it must also be capable of acquiring necessary resources. An "effective" organization, as distinct from a "fortunate" organization, is also one that acquires needed resources in a scarce environment. An effective organization will achieve membership satisfaction; students, faculty, staff, administrators, the governing body, and alumni will be able to realize their individual goals within a collective enterprise. These four criteria of organizational effectiveness provide a framework

for evaluating the effectiveness of administrators' actions (Winstead, 1978, p. 15).

In addition, an effective administrator also acts in ways that are appropriate to the authority pattern of the institution. Colleges and universities are hybrid combinations of three types of organizational authority patterns. They are part bureaucratic, characterized by a vertical authority hierarchy (Weber, 1947, p. 47; Stroup, 1966, p. 132); they are part collegial, where authority is shared among individuals, irrespective of positions (Anderson, 1963, p. 48; Millet, 1969, pp. 111-112); and they are part political, where various forms of authority are exercised by various interest groups (Baldrige, 1971, p. 14; Tennebaum, 1968, pp. 32-33). These important variations of ways in which authority is exercised in an institution demand different uses of authority by administrators for attainment of institutional goals. A thorough evaluation program should, therefore, take into account the appropriateness of the administrators' actions in the context of diverse and shifting patterns of authority.

A college or university considering the selection and implementation of a program to evaluate senior managers must consider more than the broad outline of the various evaluation approaches and the advantages and disadvantages of each. An initial decision is required as to whether a new

evaluation program is needed by the institution. The characteristics of a desirable program have to be decided in the context of the institution's environment. The process of making the new evaluation system acceptable to those involved must be planned. This planning must consider questions such as who will be involved, why is it being done, what is its purpose, when will the evaluation take place, and to whom will the results be disclosed. Finally, there should be a procedure for evaluating the evaluation system (Drucker, 1977, pp. 72-74).

The question of whether to evaluate has both a theoretical and a practical component. Some question whether there is sufficient theoretical understanding of what is successful administrative performance to fashion an accurate evaluation system (Van De Visse, 1974, p. 19; Wallenfeldt, 1976). Even if an accurate system is possible, a college or university faces the practical question of whether to institute a more accurate evaluation process. On the practical level, there is the maxim of "if it's working, don't fix it." Even if the present evaluation system is not working, this failure needs to be perceived so that administrators agree that a new evaluation would improve performance (Rasmussen, 1978, p. 38). Improving performance should be the main goal of the evaluation system. An institution where faculty or administration is unionized must decide

whether an evaluation system is consistent with the collective bargaining atmosphere and rules at the institution (Miller, 1974, p. 78). Ideally, an evaluation system should also form the basis for a program of developing administrators to improve their functioning.

In the design of an evaluation system, Lahti (1970) begins with the caution that there is a generally accepted dichotomy between evaluation as an end in itself and evaluation as a means to "facilitate the attainment of other objectives within the institution." In the former case, evaluation is usually perceived as judgmental. Its major use is in justifying salary decisions, job assignments, and promotions or firings. The latter view treats evaluation as an on-going process of generating management information which is then used by the evaluator to improve organizational performance. A primary objective of the establishment of an effective performance appraisal system is that evaluation be an integral part of the total management system and be interrelated with decision-making, resource allocation, goal development, and other administrative functions (pp. 61-64).

Evaluation and Professional Development

Farmer (1979) emphasizes that the evaluation and development of senior administrators should be an integral and

interrelated on-going process which benefits the professional growth of the individual as it contributes to the overall effective operation of the institution.

No longer do we simply have the task of maintaining the system in higher education. Institutions today cannot afford to be reactive; they must take the initiative by being proactive in developing their own resources, and in helping to shape their own destinies. (Farmer, 1979, pp. 176-177)

Fisher (1977) presents a picture that, too often, we in higher education look upon professional development and personnel evaluation as discrete, unrelated processes. One of the benefits of this study is to suggest that they are two facets of the same on-going process for the improvement of both individual and institutional performance. Thus, administrative evaluations can be helpful in making personnel decisions, but their essential purpose is to determine areas of needed or desired individual improvement and to help identify the ways and the means of professional and personal development that will enhance individual and institutional effectiveness (pp. 1-6).

Interest in administrative development is also important because higher education institutions must change in order to survive. A variety of changes, including reduction

in the number of programs offered, the development of new and cost-effective teaching and learning processes, the initiation of flexible organizational structures, and the utilization of meaningful long-range planning processes, are probably needed (Shtogren, 1978, p. 21).

Organizational development is an educational process by which human resources are continually identified, allocated and expanded in ways that make these resources more available to the organization and, therefore, improve the organization's problem-solving capacities. The most general objective of organizational development is to develop self-renewing, self-correcting systems of people who learn to organize themselves in a variety of ways according to the nature of their tasks and who continue to cope with changing demands the environment makes on the organization. (Sherwood, 1970, p. 43)

For many institutions, these and other changes represent new ways of doing business. A look at the academic change literature suggests that administrators must play key roles in initiating and implementing the change process (Mayhew, 1976, p. 11). Their management skills and their degree of sophistication and knowledge regarding change processes have profound implications for success in such

activities.

Senior management performance appraisal essentially involves the professional growth of the administrator related to a clear understanding of his/her purpose in the institution, awareness of the variety of means for accomplishing that purpose, recognition of skills and abilities for implementing these means, and opportunities for acquiring or strengthening those skills and abilities (Zion, 1977, pp. 5-12).

What is needed in any change of management procedures, of which administrative evaluation and development should be a part, is an institutional research program that gives top administrators a good idea of the campus environment and how various constituencies, including administrators, view the institution. Colleges differ in their traditions and objectives, and, within a given institution, not everyone agrees about what are the important purposes and directions (Genova, Madoffchin, & Thomas, 1976, p. 128).

Grasha points out that it is possible that such a research program could indicate a high degree of satisfaction with the current ways of operating and a strong apprehension about change. A more formal administrative evaluation program should not be instituted simply because this is the latest fad which the institution should follow. If the institution's self-satisfaction is misguided or short-

sighted, then top administrators must find ways to bring campus constituencies to a more realistic view of the state of affairs. Evaluation and development programs will not bring a new view; new views must be accomplished in other ways before a plan to change can be successfully carried out (Boyer & Grasha, 1978, p. 21).

Implementation of evaluation and development systems is difficult in higher education because of the nature of the task and the type of people in the field. A more formal system will require administrators to spend more time on something whose effect on the institution's ultimate goals cannot be proven and whose effect on improving the institutional management will not be easy to demonstrate. This is because the goals of a college or university (e.g., more student learning, greater development of the whole student, better research) are difficult to measure and are remote from the daily tasks of administrators (Rice, 1979, p. 70). Even the level of performance of institutional management is hard to evaluate. Furthermore, higher education administration has a highly educated work force that will resist change if it has not participated in the planning and implementation. Thus, involvement of the administrators who will be evaluated is a key factor in almost all the advice on successful implementation of evaluation and development programs. This involvement will make the process of putting in

the new system slower, but it is crucial to success (Harrison, 1972, pp. 119-128; Zion, 1977, pp. 5-12).

Fisher states:

The assessment of people and institutions in some ways is inevitable. It happens continuously, whether informally or formally, and because it is inescapable, it deserves to be reasonable, equitable, and clear. Within higher education, it behooves administrators to take the initiative in helping to shape and systematize the process. (New Directions, 1978, p. 115)

The literature reveals that there are several common denominators in managerial practices and caveats in the administration of senior management performance appraisal systems. The researcher has extracted those managerial practices and caveats which appropriately apply to small/medium size institutions and to the role of chief executives.

The observations and admonitions of writers in the field are as follows:

1. No one method or model of evaluation is necessarily the "correct" approach, since each must be fashioned to meet the needs of the particular institution and its setting (Farmer, 1979, pp. 176-178; Hillway, 1973, p. 427; Zion,

1977, pp. 5-12).

2. Do not begin to institute a senior management evaluation system until there is enough time and energy to do it effectively. If time and energy are not given to dealing with the issues of why, how, and who, the resulting program will be more trouble than it is worth (Anderson, 1972, p. 11; Farmer, 1979, p. 178; Hodgkinson, 1974, pp. 263-274; Nordvall, 1977, p. 55).

3. The planning and development of a change in the mode of senior management evaluation procedures should be a result of an awareness and acceptance that a change in the performance appraisal system is necessary and potentially beneficial to the institution (Fenker, 1975, p. 67; Fisher & Howell, 1972, p. 123; Surwill & Heywood, 1976, p. 11; Zoffer, 1976, p. 7).

4. In designing an effective evaluation system, the primary purposes should be to improve individual administrative performance, to provide for professional development of administrators, and to enhance the overall operations of the educational enterprise (Anderson, 1975, p. 11; Farmer, 1979, p. 10; Fisher, 1977, p. 2; Richardson, 1975, p. 305).

5. The evaluation process should be continuous and progressive. The formal evaluation of an individual should not be on an "ad hoc" or crisis basis, but rather on a regular, though flexible, cycle (Berquist & Tenbrink, 1978,

pp. 495-598; Fisher, 1973, p. 14; Hersey & Blanchard, 1977, p. 41).

6. Senior administrators subject to review should understand and have input in establishing the criteria for evaluation and in the development of the evaluation system design (Farmer, 1979, pp. 22-27; Genova, 1976, p. 142; Nordvall, 1975, p. 2).

7. The college's chief executive is the primary variable in the establishment of a senior management evaluation system. The president, as the person with total institutional responsibility, must assume a visible leadership role (Dimock, 1954, p. 54; Farmer, 1979, p. 179; Hanley, 1975, pp. 42-44; Hayes, 1976, p. 7; Kauffman, 1977, pp. 146-148; Munitz, 1974, pp. 36-37).

8. Senior managers should have an opportunity for input into the periodic evaluation of the senior administrators' performance appraisal system (Brookshire & Tally, 1978, pp. 5-19; Fisher & Howell, 1972, p. 123; Winstead, 1979, p. 168).

9. The senior administrators' performance appraisal system is related to the job performance expectations of senior administrators (Bentz & O'Neil, 1979, pp. 50-60; Zion, 1977, p. 5; Zion, 1978, p. 63).

10. The senior management evaluation process is related to the evaluation of the college president (Higher Education

Management Institute, 1978, pp. 5-19; Anderson, 1976, pp. 27-34; Webster, 1978, p. 120).

11. The administrative evaluation process should include in its design an instrument or method on a systematic approach to assess the personal and behavioral characteristics in conjunction with organizational performance (Anderson, 1975, p. 12; Miller, 1974, pp. 80-81; Van De Visse, 1974, pp. 127-128).

12. Self-evaluation should be an integral component of the senior management evaluation process (Anderson, 1975, p. 12; Boyer & Grasha, 1978, p. 23; Van De Visse, 1974, p. 55).

13. Even in a small public higher education institution, a sophisticated management information system is highly beneficial in establishing and monitoring a senior management performance appraisal system (Rasmussen, 1978, p. 38; Sprunger & Berquist, 1978, p. 243).

14. The most common denominator in selecting or assessing the varied designs of administrative evaluation systems is the relationship to the professional development of administrators and the operational development of the institution (Goldebaum, 1978, pp. 113-116; Lindquist, 1978, pp. 196-200; Richardson, 1975, pp. 31-48).

The Role of the College President
in the Establishment and Implementation
of a Senior Management Evaluation System

The literature makes it abundantly clear that the role of the president is a significant factor in assessing the effectiveness of the senior management evaluation process at a small/medium size institution, as his/her visibility, involvement, knowledge of institutional operations, institutional objectives, etc., are directly related to the effort of assessing the performance of administrative roles (Farmer, 1979, p. 179; Shtogren, 1978, p. 4).

Argyris points out that colleges, as with any organization, are usually created to achieve objectives that can best be met collectively. This means that the sequences of activity necessary to achieve the objectives are too much for one individual, and they must be cut up into "sequential units" that are manageable by human beings.

At the individual level, the units are roles; at the group level, the units are departments. These units are integrated or organized in a particular sequence of patterns designed to achieve the objectives, and the resulting pattern constitutes the organizational structure (Argyris, 1964, p. 35). The college president is responsible for the integration and coordination of these administrative roles

and department units.

From this review of literature, it was difficult to ascertain a clear and generally acceptable definition of a college president. However, most of the surveyed definitions highlighted the role of the president in the relationship between institutional development and professional development. The AAUP Bulletin's (Winter, 1966) definition of the role of president reflects this relationship:

The president, as chief executive officer of an institution of higher education, is measured largely by his capacity for institutional leadership. He shares responsibility for the definition and attainment of goals, for administrative action, and for operating the communications which link the components of the academic community. . . . The degree to which a president can envision new horizons for his institution, and can persuade others to see them and work toward them, will often constitute the chief measure of his administration. (p. 377)

The role of the college president may be described in relation to what he/she is, i.e., leader, manager; or in terms of what he/she is responsible for, i.e., attain goals, control functions. For the purpose of this dissertation, the role of the president is described in relation to

performance. Specifically, this endeavor is to identify the managerial practices of chief executives which potentially benefit the relationship between organizational development, individual development of administrators, and performance appraisal.

Burke and Horenstein highlighted the president's role in organizational development through a series of objectives:

1. To create an open, problem-solving climate throughout the organization.
2. To supplement the authority associated with the role or status with authority of knowledge and competence.
3. To locate decision-making and problem-solving responsibilities as close to the information sources as possible.
4. To build trust among individuals and groups throughout the organization.
5. To make competition more relevant to work goals and to maximize collaborative efforts.
6. To develop a reward system which recognizes both the achievement of the organization's mission (profits or service) and the organizational development (growth of people).
7. To increase the sense of "ownership" or organizational objectives throughout the work force.

8. To increase self-control and self-direction for people within the organization (Bergman & Siegel, 1972, p. 16).

A concern for organizational development of a college should be integral with a concern for professional development of staff. Too often in higher education, chief executives view organizational development, professional development, and performance appraisal as discrete, unrelated processes. The college president is the primary administrative resource in maintaining a linkage between organizational development, professional development, and performance appraisal (Fisher, 1978, p. 13; Kauffman, 1977, pp. 146-150).

A consistent strain running through definitions of the president's role in organizational development is the notion that administrative development cannot be isolated from organizational development (Shtogren, 1978, p. 195). This close tie of administrator performance to organizational context is underestimated by many administrative performance appraisal programs (Harrison, 1972, pp. 119-128).

In summarizing a collection of articles on the president's role in administrative evaluation and development, Lindquist (1978) emphasizes the axiom that performance evaluation and development are tied to the institutional concept of assessing individual and organizational needs

(pp. 196-200). He delineates four managerial responsibilities of the college president in senior management evaluation and development:

1. Constant assessment of individual and organizational development needs.
2. Focusing activities on solving immediate problems while enhancing skills to solve future problems.
3. Enabling administrators to give one another mutual support in development activities.
4. Clarifying roles, goals, rewards, and competencies for administrators.

Argyris (1976) and Likert (1967) emphasized the importance of understanding the relationship between individual development and organizational development. If management or administration is effective, it will balance the needs of the individual, the group, and the organization. The more unequal these forces or needs are, the less effective the organization is. Continual monitoring and assessment of the organizational process and organizational action is essential for institutional success.

A common denominator in selecting or in assessing the varied designs of administrative evaluation systems is the relationship to the professional development of administrators and the operational development of the institution (Goldenbaum, 1978, pp. 113-116; Lindquist, 1978, pp. 196-

200; Richardson, 1975, pp. 31-48). The president has the major responsibility in the organizational development of the institution and, because of this, carries a correlative responsibility in the professional development and evaluation of senior managers.

Farmer (1979), Kauffman (1977), Munitz (1976), Hanley (1975), Hayes (1976), and Dimock (1954) all support the premise that the college's chief executive is the primary resource in the establishment of a senior management evaluation system.

Cangemi, in a summary of past research on managerial behaviors and traits of successful business executives, demonstrated possible linkages between managerial skills in business and educational administration. He commented that there seems to be a cluster of behaviors that are consistent in successful managers of various types of organizations, including higher education.. Cangemi suggested that higher education can benefit from reviewing studies in business management. Some of the successful managerial behaviors and traits he identified include: (a) good business leaders are more interested in developing themselves and those around them than in money or job security; (b) good business leaders are outstanding communicators; (c) good business leaders are not insecure about proving they are effective managers; (d) good business leaders understand

organizational behavior and can adapt to various conflict situations; (e) good business leaders are willing to take greater risks; and, finally, (f) good business leaders utilize effective group problem-solving techniques.

These ideas are germane to this study because of the correlative relationship between effective management behavior in business and higher education in identifying organizational and individual development as crucial to success. Also of relevance is the notion that a college president can improve organizational effectiveness by supporting an integration of procedures to evaluate presidential performance. If one may assume that there is a direct relationship between the assessment of senior administrative performance and the evaluation of the general operations of the institution, then it would seem to follow that a senior management evaluation system not only assesses the performance of administrators and staff, but, probably more significantly, it evaluates the organizational behavior of the college's chief executive.

Nordvall (1979) presents the theme that the evaluation of the college president must go beyond his/her individual performance to include the performance appraisal of top administrative personnel (p. 47). Hayes (1976) viewed the evaluation of the senior management team as the most important element in the establishment of a senior management

evaluation system, including within this concept the performance appraisal of both the college president and the senior administrators (p. 4).

A senior management evaluation system may expose a senior administrator to objective scrutiny concerning his/her organizational behavior. At the same time, a senior management evaluation system is also a reflection of the organizational behavior of the college president. Here, the focus is on the office of the president. Munitz (1976) notes that placing an emphasis in evaluation on the office of the president shifts the emphasis from concern for personal style of the president to the managerial objectives of the office (p. 38).

There is an important relationship between the systematic appraisal of senior management performance and the related managerial practices of the president in the process. In assessing a performance appraisal system, the chief executive, in most small/medium size institutions, is the key to why it is done, how it is done, who does it, what happens because of it, and how to improve it (Munitz, 1976, p. 38; Anderson, 1976, pp. 27-34; Zion, 1977, p. 5).

Because of the recognized problems associated with informal modes of evaluation (Farmer, 1979; Fisher, 1977) and the supported value in developing systematic approaches (Anderson, 1976; Farmer, 1979; Nordvall, 1979; Zion, 1977),

there is a need to identify general managerial practices of college presidents which potentially benefit the establishment and implementation of formal appraisal systems.

The literature provides support for identification of general managerial practices on the part of college presidents which contribute to the significance and function of a systematic approach in the evaluation of senior administrators.

The following represent an amalgam of the writings and research of Anderson (1975), Dressel (1976), Farmer (1979), Fisher (1977), Nordvall (1979), Munitz (1976), Winstead (1979), and Zion (1979). The president should:

1. Exhibit an organized behavior in seeking information related to the performance of senior administrators.

There should be some reliance on a formal or systematic approach on the part of the president in assessing and in seeking this type of information.

2. Display a sense of curiosity in the performance of senior administrators and in the operations of their respective service areas. Senior managers should perceive this type of practice as an indication that the president is interested in what they are doing, how they are doing it, and how they can do it better. The president should be an active participant in the senior manager's organizational environment.

3. Provide the primary leadership in the planning, design, and implementation of a senior management evaluation system. In addition, the president should provide opportunities for the senior managers to participate in the decision-making process--why it is done, how it is done, what happens because of it, how it can be improved.

4. Approach senior management evaluation as a meaningful development of administrative time and energy. Senior managers should perceive the president's role and their involvement in the process as potentially beneficial to their own performance and development and the development of the institution. The president should approach the evaluation process as a continuous and progressive organizational endeavor.

5. Convey a clear purpose of the evaluation program. It should be clear that the major purpose of the process is reflected in the interrelationships between performance assessment, professional development, and institutional development.

6. Generate support for the desirability of a formal method of evaluation and the conviction that the system is necessary and potentially beneficial to the institution.

7. Insure that the performance appraisal process reflects a relationship to senior managers' job performance expectations and job performance objectives. The president

should provide an opportunity for the mutual development of this relationship between him/herself and the senior managers.

8. Insure that the assessment of both personal and behavioral characteristics and organizational performance is incorporated into the evaluation process.

9. Support self-evaluation as an integral component of the evaluation process.

10. Support a strong linkage between the performance assessment of senior administrators and the evaluation of the president.

This outline represents clusters of common managerial practices that college presidents could exhibit in order to assure that the systematic appraisal of senior managers is a significant institutional endeavor. It should be noted here that they cannot be universally applied to all institutions or to certain types of institutions. One of the primary "caveats" in the establishment and the monitoring of senior management evaluation systems is that they should be rooted in the traditions and organizational climate of each institution (Farmer, 1979, p. 179; Shtogren, 1978, p. 196).

However, the encompassed observations and experiences of writers on this subject support a general application to the organizational structures of small/medium size institutions.

The value of a performance appraisal system should not

be seen merely as an effort to identify organizational and personnel problems, but, more importantly, as a collective effort to assess the actual direction of the institution in relation to its desired direction. Drucker (1977) has identified this as a concern for an organizational discrepancy between where a college is going and where it desired to go. In viewing a president's managerial behavior, one is faced with the same perception--a discrepancy between someone's actual performance and his/her preferred performance (pp. 81-83).

This can be seen as a healthy managerial condition in that the way a president approaches his/her management tasks is based on a certain degree of tension, the tension between what one has already accomplished and what he/she still ought to accomplish, or the gap between what he/she is doing and what he/she should be doing. Wolf (1964) points out that such tension is inherent in the human being and, therefore, indispensable to human beings:

We should not, then, be hesitant about challenging man with meaning potentialities for him to realize, thus evoking his will to meaning out of its latency. I consider it a dangerous misconception of mental hygiene to assume that what man needs in the first place is equilibrium or, as it is called in

biology, "homeostasis," i.e., a tension-less state. What man actually needs is not a tension-less state, but rather the striving and struggling for some goal worthy of him.
(p. 124)

In any organizational environment, systems are living structures, constantly "becoming and unbecoming" (Argyris, 1964, p. 11).

The search of literature supports the conclusion that the college president has the responsibility for maintaining an atmosphere for administrative evaluation which conditions positive benefits toward individual performance, professional development, and organizational effectiveness. The chief executive should insure that the evaluation system is functioning with downward, upward, and parallel administrative communications, input, and assessment.

A college president, in proposing any evaluation/assessment paradigm for administrative personnel, must make certain tacit assumptions from which the evaluation scheme flows. Flanagan (1979) lists these assumptions as:

1. That there is a set of standards of administrative performance which is definable.
2. That these standards can be operational in such a way that it is possible to measure performance in terms of standards.

3. That there is a correlation (positive) between the process of assessment and the attainment of one or more of the goals of the organization (pp. 419-425).

This section of the literature survey has detailed the managerial role of the college president in the systematic performance appraisal of senior managers. The president has been identified as a key factor in the successful management of senior management performance appraisal systems. His/her role behavior involves those activities which a chief executive undertakes in managing and synchronizing the work of the top management team. As Likert (1961) stated, "An organization will function best when its personnel function not as individuals, but as members of highly effective work groups with high performance goals" (p. 105).

The question as to what is the proper process for public higher education institutions to evaluate and develop their administrators should be preceded by another question: How shall colleges and universities be managed? The challenge to public higher education, and in particular to small public institutions, is to establish an effective evaluation system that allows for the release of the human potential, to get people motivated to want to plan, to get people committed to action programs, to mold an organization of high morale, high productivity, and high efficiency.

CHAPTER III

METHODOLOGY

Introduction

The review of the literature detailed many of the complexities that operate in the development and implementation of senior management performance appraisal systems in higher education institutions. The literature revealed that there should be an integrated relationship between organizational development, administrative performance, and administrative development in the successful management of performance appraisal systems. The literature also identified the role of the college president as the primary managerial component controlling this integrated relationship.

However, much of the literature presents the world of academic administration "as it should be." Although recommended approaches to senior management performance are plentiful, empirical information supporting such contentions and, in particular, data detailing academic organizational behaviors in senior management performance appraisal, is sparse. The reason for this deficiency seems to be that empirical or experimental research within the senior management structure of higher education institutions is difficult and time-consuming. Also, there is an inability to control

the interaction of the environmental variables in the world of higher education administration. This descriptive study was designed and undertaken in an attempt to explore this void and generate the data on management of senior administrator performance appraisal systems.

The Research Design

This is basically a descriptive study. The descriptive research technique was selected as appropriate because the environments within which the subjects function precluded any selection, control, or manipulation of factors necessary to study relationships experimentally (Best, 1977). The objective of the methodology employed has been to describe systematically the facts and characteristics of a given population or area of interest, factually and accurately (Isaac & Michael, 1974).

The primary purpose of this study was to compare the perceptions of college presidents and senior administrators in relation to identified general managerial behaviors which influence the significance and function of senior management performance appraisal systems. The study was conducted in selected public higher education institutions in Vermont, Maine, and New Hampshire and focused on the perceptions of the college president, chief academic affairs officer, and chief student affairs officer at the respective

institutions.

This investigation was a pilot study with a major goal being to take an in-depth look at how small institutions of higher education approach the significance and function of senior management evaluation as perceived by the evaluator (college president) and the subject of the evaluation (senior administrator). The accomplishment of this goal was a quadripartite process:

1. Through a search of literature, to identify and analyze current purposes and approaches in senior management evaluation in public higher education and to identify the general managerial practices of college presidents which contribute to its value and utility.

2. To conduct, at selected colleges in Vermont, Maine, and New Hampshire, interviews with the college president and the chief academic and student affairs officers to ascertain their views and perceptions on current approaches/practices in senior management evaluation, generally and specifically to the established system at their respective institution.

3. To conduct a comparative analysis, through the use of a systematic instrument (in an interview atmosphere), of the perceptions of selected college presidents and senior administrators of general managerial practices of the chief executive which influence the significance and function of senior management evaluation systems.

In the interviews (the major method of data collection for this study), the researcher was trying to find out how presidents and senior administrators view the evaluation process in relation to what it should be and what it is. It was an attempt to explore the existence of organizational and managerial discrepancies in a chief executive's and an institution's approach to senior management evaluations.

4. To draw conclusions based on a systematic assessment of the perceptions of selected college presidents and senior administrators on: (a) the role of the college president in influencing the significance and function of senior management evaluation systems, (b) the value and utility of performance assessment as an administrative function at selected institutions, and (c) the degree of congruence or incongruence between the perceptions of college presidents and senior administrators at selected institutions in relation to the significance and function of evaluation systems.

Significantly, interviewing for qualitative research requires greater skill than does interviewing with the highly structured, standardized schedule (Festinger, 1952; Kahn & Connell, 1962). It must be noted here that the researcher has been aware of the limitations of methodology. This methodology advocates an approach to examining the social world which requires the researcher to interpret the

real world from the perspective of the subjects of the investigation (Filstead, 1970).

A statement of hypotheses. The focus of this study has been an attempt to determine the possible existence of organizational and managerial discrepancies in a president's and an institution's approach to senior management evaluation systems. An organizational discrepancy is one between an institution's desired approach and its actual approach to performance appraisal. A managerial discrepancy is one between a chief executive's desired practice and his/her actual practice in managing the performance appraisal system.

The researcher calls attention to the use of the term "discrepancy" rather than "deficiency." Mager (1973) cautions that discrepancy means only that there is a difference, a lack of balance between actual and desired. Deficiency means that a value judgment has been made about the discrepancy, and that the discrepancy is bad or in some other way unacceptable. Using the term discrepancy, one avoids jumping to conclusions about whether a discrepancy is good or bad (p. 11).

Tested hypotheses.

H₁ - There is no significant difference between the perception of the president and senior administrators in relation to the level of significance of general managerial practices which influence the significance and function of performance appraisal.

H₂ - There is no significant difference between the response of presidents and senior administrators in the consistency of performance exhibited by selected college presidents in relation to the identified general managerial practices.

Subjects and Selected Institutions

For the purpose of this study, the researcher selected six public higher education institutions in northern New England with FTE enrollments under 5,000 students. All of these institutions were similar in that each was a component of a multi-campus system; was located in a rural environment; was governed by a president/chancellor/board of trustees system; was organized into three major administrative spheres--academic affairs, student affairs, and administrative services; and was characterized as a member of a centralized management structure as opposed or contrasted to a decentralized or federated structure.

The selected population included the college president, the chief academic affairs officer, and the chief student affairs officer at each of the selected institutions. The selected institutions included Castleton State College of Vermont, Johnson State College of Vermont, University of Maine at Augusta, University of Maine at Farmington, Keene State College of New Hampshire, and Plymouth State College of New Hampshire.

The major method of data collection utilized in this study was interview. Two sets of on-site interviews were held with each of the identified administrators of the colleges in the sample. The initial interview schedule was designed so that certain kinds of information was requested from all respondents, but the particular phrasing of questions and their order was adjusted to fit characteristics of each respondent (Denzin, 1970). The second set of interviews was conducted utilizing a systematic instrument to elicit responses to questions about the significance and deployment of identified managerial behaviors as perceived by the respondent. Here, also, the atmosphere and format of the interview was conditioned by the characteristics of the respondent.

The first series of interviews was conducted with the eighteen respondents after requesting an invitation to visit the campus and sending to each subject a cover letter explaining the purpose of the study. Three weeks later, a follow-up letter was mailed to each subject explaining the purpose and design of the second interview. Each subject was contacted by telephone to clarify any questions concerning the purpose of the study and the second interview. Date, time, and place for the interview were determined for those who agreed to participate in the second interview. With a copy of the interview instrument went a letter

confirming the date, time, and place of the interview and expressing an appreciation for their willingness to participate.

Each interview started with the researcher introducing himself and explaining the purpose of the study. He then moved on to a review of the interview format and a discussion of any items the subject found confusing or ambiguous. Next, the topics of the interview schedule were discussed. The purpose of the first series of interviews was to ascertain information on the current practices and procedures governing the evaluation of senior management personnel. The second series of interviews utilized a systematic instrument to ascertain the perceptions of selected senior officers on identified general managerial behaviors which influence the significance and function of performance appraisal systems.

The Design of the Interview Format and Interview Instrument

To carry out the investigation, the researcher determined that the most appropriate and efficient means of gathering data was to administer a uniform interview guide and survey instrument to all subjects. No existing instrument was easily adaptable to this investigation; therefore, based on the study design, an instrument was constructed by

the researcher. DeGroos (1969) indicated that "in the behavioral sciences, in particular in field and applied investigations, instruments must often be constructed ad hoc" (p. 181).

The instrument and the interview format were pre-tested on a sample population and, as a result, the following adjustments were made: (a) the length of the interview format was refined so that the final version took respondents less than one-and-one-half hours to complete; (b) the survey instrument was reduced so that the final version took respondents less than one-half hour to complete; (c) in both the interview format and the interview instrument, some questions were reworded and others eliminated; and, finally, (d) the open-ended questions were refined and narrowed in scope in order to facilitate response.

Regardless of the instrument design or methodology, attitude research has its limitations. Best (1977) summarized these drawbacks as follows:

The process of inferring attitude from expressed opinion has many limitations. An individual may conceal his real attitude and express socially acceptable opinions. An individual may not really know how he feels about an issue. He may never have given the idea serious consideration. An individual may be unable to know his

attitude about the situation in abstract.

Until confronted with a real situation, he may be unable to predict his reaction or behavior. (p. 169)

Interview format: Phase One. The initial interview with each respondent was scheduled in an open-ended atmosphere, yet governed by a structured interview format (see Appendix A). The format was divided into five areas of concern. The first asked for the general views of respondents on the purpose, value, and utility of senior management evaluation systems. The second solicited general views on current methods and procedures in performance appraisal. The third concerned views on systems of senior management evaluation employed at the respondent's institution. The fourth sought opinions on the importance of senior management assessment as an institutional function. The fifth asked for views on the leadership role of the president in determining the significance and utility of senior management evaluation systems.

Managerial behavior instrument: Phase Two. The interview instrument was designed to solicit responses as to the college president's role in influencing the significance and function of senior management evaluation systems (see Appendix B). The instrument was composed of twenty general

managerial behaviors which the literature supports as positive influences in the administration of performance appraisal systems. The instrument was divided into two Likert Scale responses. The first scale was to elicit responses as to the degree of significance in relation to the identified general managerial practices. The second scale was designed as an approach to rate the frequency of behavior exhibited by the college president in relation to the identified general managerial practices. In this effort, each respondent was asked to rate how he/she feels the president is perceived by the senior administrators at the respective institutions.

The major purpose of the Phase Two interview was to generate data in relation to a comparative analysis of college presidents' and senior administrators' perceptions in approaching the significance and function of the evaluation process.

The Data Analysis

The following is a summary of the methods used to analyze the study data pertinent to the hypotheses and related research objectives. A more detailed analysis of data is presented in Chapter IV.

1. An overview was presented of certain characteristics of selected institutions and populations.

2. The attitude assessment or "opinionnaire" interview (Phase One) was basically analyzed by a summary tabulation of responses in both graphic and narrative form. Descriptive data was organized into two categories in analyzing responses to five areas of concern in the management of senior administrator evaluation systems. In this endeavor, the researcher was judgmental in relying on review of pertinent literature, knowledge of subject population, and experience with study setting in determining classification of responses into: (a) desired approaches, (b) actual/existing approaches, (c) desired practices, and (d) actual/existing practices.

3. The type of research that was proposed lends itself to limited quantitative analysis. For the most part, this research will employ a qualitative methodology which allows the researcher to develop analytical and conceptual components of explanations during, or close to, the data collection process, rather than from preconceived constructs (Becker, 1970; Filstead, 1970; Glazer & Straus, 1967). Clearly, the mode of analysis being proposed is the case-study method which, in this instance, views each subject within the setting referred to as a "case."

4. The quantitative component of this study was generated through the use of the Managerial Practice Instrument (Phase Two). The responses were analyzed utilizing the

Kruskal-Wallis one-way analysis of variance by ranks. Use of the Kruskal-Wallis is an application of nonparametric statistical analysis based on the following assumptions:

(a) the data for analysis consists of K samples of sizes N_1 , N_2 , and N_3 ; (b) the observations are independent, both within and among samples; and (c) the measurement scale is at least ordinal (Daniel, 1978, p. 201). The data generated by the Managerial Practice Instrument was measured by the use of a Likert Scale, which provided the research with ordinal data. Observations taken from the three senior administrators at each of the selected institutions were independent. Preference was not related or correlated to responses on significance. The analysis consisted of three samples: president, chief academic affairs officer, and chief student affairs officer. The above data, generated by this research, meet the three assumptions for the Kruskal-Wallis test.

5. Further analysis consisted of expectant wise calculation at the .05 level to determine where the differences lay, if there was a difference between the groups.

C H A P T E R I V

FINDINGS

Introduction

The major objective of the study--to describe and define the role of the college president in senior management performance appraisal as perceived by the key personnel involved in the process--was accomplished primarily by interview. The findings reported here are based on the disclosures of two in-depth interviews conducted by the researcher with each of the eighteen individuals who comprise the sample population.

The findings of this study include the following blocks of data: (a) characteristics of selected institutions, (b) characteristics of selected population sample, (c) results of Phase One interviews, (d) results of Phase Two interviews, (e) assessment of current approaches and practices in performance appraisal, and (f) general findings.

Characteristics of Selected Institutions

For the purpose of this study, the researcher attempted to select institutions where similar organizational characteristics outweighed dissimilar characteristics. The researcher also took geographical proximity into consideration as a means for making data collection manageable by a

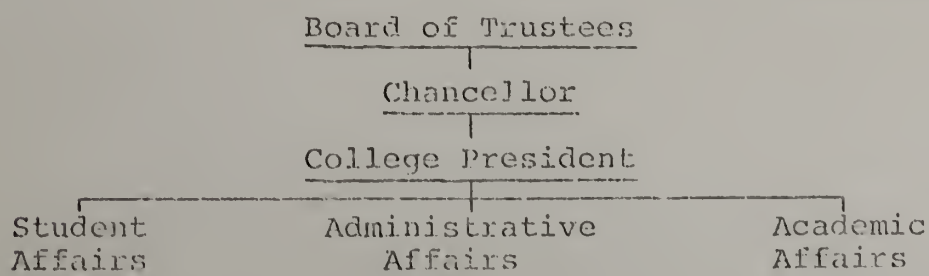
single person.

Each of the selected institutions is incorporated within a multi-campus, public higher education system. In New Hampshire and Maine, the state college and the state university are included in a single system. In Vermont, the state university is organizationally separate from other postsecondary institutions. Four of the selected institutions, then, are part of the state university system and two are components of a state college system.

All six institutions operate through a similar administrative and governing structure, as illustrated in Table 1. Each college is managed through the office of a president, who is responsible to a system chancellor and a system board of trustees. Each campus is organized into three major administrative components: student affairs, academic affairs, and administrative affairs.

Table 1

Organizational Structure of State Systems
of Which Colleges in the Sample are a Part



Interviews with central office staff in each system revealed that there has been an increase in centralization of management functions, specifically in the coordination of management information systems and especially in the area of fiscal affairs and institutional administration. All three boards of trustees are described as having strong policy development functions and increasingly strong postures in the internal affairs of the selected institutions. The most frequent reason offered for the tendency toward centralization is the increasing demand for accountability from external sources, i.e., legislature and the general public.

Each of the state systems is dependent upon its state legislature for support of operations. The individual college budgets reflect tax support for between 28 and 38 percent of operating costs. It was reported that in relation to the percentage within the total college budget, there has been shrinking support from tax-dollar allocations over the past three years. However, in relation to total dollars in all three systems, the records show an increase in tax-supported allocations from the state legislature.

In defining a small/medium size institution as one with an enrollment under 5,000 FTE, all six institutions fall within this description. In the sample institutions, there is an enrollment range from 1,052 to 3,740 (see Table 2). Comparative enrollment data was generated in determining a

Full-Time-Equivalency count. Over the past two years, enrollment was reported as steady/stable at five of the institutions, varying between 2 and 7 percent growth. One institution reported a decrease.

Table 2
Comparative Enrollment Data for 1980-81
in Sample Institutions
Reflecting Full-Time Equivalency Count

Institution	Student Enrollment
A	3,409
B	1,982
C	2,415
D	1,052
E	3,740
F	2,742

For the purpose of this study, the researcher judged it important that all of the sample institutions presented general similarities in governance and organizational structure. Such similarity accommodated comparative analysis of a function (management performance appraisal) within the structure. Notwithstanding, the researcher did not intend to discount the influence of dissimilarities in

institutional characteristics on the performance appraisal function.

Characteristics of Sample Population

The sample population providing the data base for this study included three senior administrators (viz., president, chief academic affairs officer, and chief student affairs officer) from each of the six colleges selected for the study. The study design required only that the sample population consist of senior administrators with similar functions. In other respects, members of the sample population differed.

In relation to years in present position, there is a high degree of dissimilarity. The six college presidents represent a range in office from less than one year to twelve years. They represent an average of 6.5 years in office. The national average, according to the American Association of State Colleges and Universities, is 3.7 years.

The chief academic affairs officers in the sample average 2.7 years in office, with a range within the sample from less than one year to six years. The average tenure in office for the student affairs sample was also 2.7 years, with a range of less than one year to four years. The national average, as reported by AASCU was 3.3 for academic

affairs officers and 3.9 for student affairs officers (AASCU, 1978, pp. 41-44).

No significance was attached to the finding that the tenure in office of public college presidents in the sample exceeds the national average, or that tenure in office of senior administrators in Vermont, Maine, and New Hampshire falls below the national average. The size of the sample precludes such inference.

Table 3
Total Number of Years Individuals
in the Sample Population
Have Occupied Their Present Position

Institution	President	Chief Academic Affairs Officer	Chief Student Affairs Officer
A	1	1	3
B	2	2	1
C	12	2	3
D	7	1	1
E	12	4	4
F	5	6	4

N.B., Figures rounded to year

The turnover rate in presidents and senior management personnel within the sample institutions cannot be ignored as potentially shaping perceptions of senior administrators with reference to performance appraisal. The high turnover rate of senior administrators is bound to impede longitudinal functions such as performance evaluation. However, the size of the sample does not afford an opportunity for the researcher to determine how, or if, years in the position influence approaches to performance appraisal.

The possible intervention of time in position as a variable is manifested in the following vignettes of colleges included in the study.

Institution A. At the present time, there is an acting president and an acting dean of academic affairs, each with less than one year in office. The previous president was also acting with less than one year in office. The dean of students has held that position for three years.

Institution B. The president and the dean of academic affairs have been in office for two plus years. The dean of student affairs is completing his first year.

Institution C. The president has recently resigned effective July 1, 1981, after twelve years in office. The vice-president of student affairs and the vice-president of

academic affairs have three plus years and two plus years, respectively, in the position.

Institution D. The president, after seven years in office, has resigned effective June, 1981. The dean of academic affairs has a little over nine months' experience in the position. The dean of students, also, represents less than one year.

Institution E. The president resigned during this study after twelve years in office. The new president is approaching her second year. Both the dean of the college (academic affairs) and the dean of students represent four years in the position. However, the dean of the college has submitted his resignation effective September, 1981.

Institution F. The president has held the office for five years. The dean of the college and the dean of student affairs have been in the position six years and four years, respectively.

The researcher did attempt to determine years of senior administrative experience in the sample population. However, the data generated is incomplete and fuzzy. It was difficult to obtain from the sample population a general frame of reference as to what constitutes senior administrative experience. It should be noted, however, that twelve

of the eighteen respondents were in their first senior management position (with reference to definition of senior manager employed in this study).

Salaries for presidents and senior administrators in the sample population were relatively similar.

Table 4
Salary Ranges
of Presidents and Senior Administrators
in the Sample Population

Institution	President	Chief Academic Affairs Officer	Chief Student Affairs Officer
A	30,000-38,000	26,000-30,000	24,000-29,000
B	31,500-38,000	29,000-33,000	22,000-28,000
C	32,000-38,000	26,000-30,000	24,000-29,000
D	31,500-38,000	29,000-33,000	22,000-28,000
E	33,000-38,000	28,000-34,000	24,000-28,000
F	33,000-38,000	28,000-34,000	24,000-28,000

In the recruitment of presidents and senior administrators, salaries and fringe benefit packages were not reported as distinctively different. All positions require significant experience in higher education and a terminal degree.

In all institutions the job descriptions of college presidents were also not distinctively different. Each indicated that evaluation of senior administrative personnel was a primary responsibility of the college president. However, in one system this responsibility was shared with a committee of the board of trustees. The written job function of academic affairs officers and student affairs officers in the sample population followed similar patterns of responsibilities. However, it should be noted that job descriptions for senior managers, for the most part, were not as comprehensively developed as those of the college president.

In viewing the sample population as two groups---college presidents and senior administrators---the researcher was able to identify a number of similar characteristics between and within sample institutions in:

1. Administrative structure.
2. Job descriptions of presidents.
3. Job descriptions of senior administrators.
4. Turnover rate in senior administrative personnel.
5. Compensation and professional credentials for the administrative positions.
6. Tendency toward system centralization.
7. Increase in external demands for fiscal and managerial accountability.

Phase One Interviews

The Phase One interview format included five general categories of issues and concerns related to the administration of performance appraisal systems (see Appendix A).

These categories called for the respondents' views on:

1. Current approaches to senior management performance appraisal systems.
2. Current methods and modes of performance appraisal systems.
3. Significance of performance appraisal as a managerial function.
4. System for senior management evaluation at respondent's institution.
5. Role of the president in the performance appraisal process.

The interview format conditioned the solicitation of open-ended responses on issues pertaining to managerial approaches and practices in senior management evaluation. Each respondent was instructed to describe his/her answers in relation to "desired" approaches/practices and "actual" approaches/practices.

Since the purpose of the study was to discover how presidents and senior managers perceived approaches and practices, it was logical to ask them directly.

Qualitative methodologies refer to research procedures which produce descriptive data: people's own written or spoken word . . . allow us to know people personally and to see them as they are developing their own definition of the world. . . . Qualitative methods enable us to explore concepts whose essence is lost in other research approaches.

(Bogdan & Taylor, 1975, pp. 4-6)

In the analysis of the responses, the researcher has clustered views of the respondents in an effort to construct a general consensus. General consensus was construed as strong agreement of, or identity in, the responses of two-thirds (twelve out of eighteen) of the sample population. This was an arbitrary determination on the part of the researcher.¹

In analyzing and reporting the responses of the Phase One interview, the researcher employed a graphic format to summarize the results. Each table identifies the general response category and the sub-issue or managerial concern. Responses are classified in relation to "desired" approaches/practices and "actual" approaches/practices. The "desired" represents "what an approach should be," what some "would like to see happen," etc. It reflects a preferred method of managing the function. The "actual" represents

"how it is done now" or "what is happening now." It is an attempt to describe existing approaches/practices in managing the function of performance appraisal.

The reported "desired" and "actual" approaches incorporated in the following tables represent a determination of consensus by the researcher. Each table includes a comment section where the researcher indicates the extent of consensus of responses or the lack of consensus. Also, the researcher comments on factors which influence the interpretation of the responses.

Lastly, responses represent views of one group, including senior managers and presidents. There was no organized effort to identify or isolate the views of senior managers in comparison to the views of presidents. The primary objective of the Phase One interview was to identify organizational discrepancies between "desired" organizational approaches/practices and "actual" organizational approaches/practices.

General Views On
Senior Management Evaluation Systems

This section reflects general views of respondents on the primary purposes of systematic performance appraisal, and the relationship to job descriptions, organizational development, and professional development of senior administrators.

Table 5
Primary Purposes of
Senior Management Performance Appraisal

Desired Approach/Practice	Actual Approach/Practice
1. Professional Development	1. Evaluation of Performance
2. Improvement of Performance	2. Improvement of Performance
3. Organizational Development	3. Organizational Development
4. Evaluation of Performance	4. Professional Development

Comment: Responses are displayed in rank order of importance as perceived by the sample population. Fourteen of the eighteen respondents were in agreement with this ordering of the primary purposes of management performance appraisal. However, fifteen felt that there was a limited-to-poor relationship between systematic performance appraisal and professional development activities and concerns.

Table 6
Performance Appraisal Relationship to
Job Description/Function of Senior Administrator

Desired Approach/Practice	Actual Approach/Practice
Performance appraisal systems should have a clear relationship to job description and job function.	Performance appraisal systems have a limited and often confusing relationship to job description and job function.

Comment: Twelve of eighteen of the sample population viewed performance appraisal systems, especially how they are designed, as having a limited relationship to job function. Many senior managers and presidents saw evaluation as an attempt to assess not what someone does or is responsible for, but mainly what someone thinks he/she should be doing. Sixteen of the sample population believed that there should be a clear relationship between job function and performance appraisal systems.

Table 7
Relationship to
Organizational Development of Institution

Desired Approach/Practice	Actual Approach/Practice
There should be a strong relationship between systematic performance appraisal and organizational development.	Organizational development was a superficial criterion in most performance appraisal systems.

Comment: All respondents advocated a strong relationship between performance appraisal systems and organizational development. However, many seemed to be in a quandary as to how to achieve this objective through a systematic performance appraisal process. Over half (ten of eighteen) did not feel that a management-by-objectives approach is an adequate solution to this dilemma. Thirteen of the respondents described organizational development as a superficial criterion in most performance appraisal systems.

Table 8
Relationship to Professional
Development of Senior Administrators

Desired Approach/Practice	Actual Approach/Practice
There should be a strong relationship between performance appraisal systems and a systematic approach to professional development programs and activities.	There is a limited relationship between performance appraisal systems and systematic professional development programs and activities.

Comment: Sixteen of eighteen respondents indicated belief that there should be a strong relationship between performance appraisal systems and professional development of senior administrators. Fourteen identified a limited relationship in current approaches and practices. One general reason given for this (twelve respondents) was the lack of resources to implement professional development programs. Twelve of the respondents indicated that professional development should be the major institutional benefit resulting from the performance appraisal process.

General Views on
Current Methods and Approaches to
Performance Appraisal of Senior Administrative Personnel

This section provides an indication of the views of respondents in relation to current methods and modes of performance appraisal, including Unstructured Narration, Unstructured Documentation, Structured Narration, Rating Scales, Structured Documentation, and Management by Objectives.

Table 9
Unstructured Narration Method

Desired Approach/Practice	Actual Approach/Practice
This method is not an acceptable approach in systematically assessing the performance of senior managers.	This method is frequently utilized to evaluate performance of senior managers.

Comment: Sixteen of eighteen respondents did not view unstructured narration as an acceptable or even systematic approach. Fourteen respondents agreed that utilization of the unstructured narration approach presented a clear indication that systematic performance appraisal was not a significant management function within the administrative structure of a college.

Table 10
Unstructured Documentation Method

Desired Approach/Practice	Actual Approach/Practice
This method is not an acceptable approach in systematically assessing the performance of senior administrators.	This method is frequently utilized to evaluate performance of senior administrators.

Comment: Sixteen of eighteen respondents did not view unstructured documentation as an acceptable approach. Nevertheless, twelve identified it as a frequently utilized approach. Those colleges employing this approach reflect a minimum deployment of administrative time and energy in systematic performance appraisal of senior managers.

Table 11
Structured Narration Method

Desired Approach/Practice	Actual Approach/Practice
Acceptable approach to performance appraisal if developed and implemented properly.	Often, there are problems associated with too much emphasis on self-evaluation and limited relationship to organizational development.

Comment: Twelve of eighteen respondents stated that structured narration was an acceptable approach if properly developed and implemented. However, twelve indicated that there was too much emphasis on the subjective judgment of the evaluatee (the senior administrator) in most established structured narration systems. Also, some respondents (ten) saw a problem in the design of these types of systems, as well as a limited relationship to organizational development.

Table 12
Structured Narration Method
(Rating Scales)

Desired Approach/Practice	Actual Approach/Practice
Not an acceptable method if used as the only assessment instrument (rating scales) or method.	Very frequently utilized method; systematic, easy, minimum administrative time and energy.

Comment: Sixteen of eighteen respondents indicated that rating scales were not acceptable as a method if utilized alone. However, all respondents indicated that this is one of the most frequently utilized systems in that it is easy to administer and score.

Table 13
Structured Documentation Method

Desired Approach/Practice	Actual Approach/Practice
Acceptable method in senior management performance appraisal.	Not frequently employed as a method in senior management performance appraisal.

Comment: Sixteen of eighteen respondents stated that this was an acceptable method in systematic performance appraisal. Fourteen also indicated that structured documentation is not frequently utilized in that it requires a strong commitment of administrative time and energy to plan, develop, and implement this type of performance appraisal.

Table 14
 Management by Objectives/Planning
 Objectives Method

Desired Approach/Practice	Actual Approach/Practice
No consensus as a desired approach for a small institution.	Not a frequently utilized approach. In fact, very few institutions have effectively implemented this design.

Comment: Only ten of the eighteen respondents saw the value of the management-by-objectives approach, even if modified to the environment and resources of a small institution. Very few (three) of the respondents supported the concept of a "pure" system of management by objectives. However, twelve saw a need to incorporate a planning objectives element in the design of performance appraisal systems.

General Views on the Significance
of Performance Appraisal as a Management Function
Within the Organizational Structure of a College

This section reviews responses of the sample population in relation to performance appraisal as a managerial function. This includes the impact of systematic senior management evaluation on organizational operations, administrative performance, professional development programs, and assessment of presidential performance.

Table 15

The Impact of Systematic Performance
Appraisal on Organizational Operations

Desired Approach/Practice	Actual Approach/Practice
Performance appraisal systems should have significant impact as an administrative function in the organizational structure of the institution.	Design of most performance appraisal systems indicates low/medium priority as an administrative function within the organizational structure of the institution.

Comment: Sixteen of eighteen respondents stated that performance appraisal should be an important administrative function. Fourteen indicated that its importance is reflected in its design and implementation. However, twelve of the respondents reported that its importance as a systematic administrative function is low/medium.

Table 16

The Impact of Systematic Performance
Appraisal on Administrative Performance

Desired Approach/Practice	Actual Approach/Practice
Impact of system on administrative performance should be seen in the review and improvement of performance and in the resultant benefits to the institution.	Major impact of system is on review of performance. There is not enough emphasis on strategies for improvement or on resultant benefits to the institution.

Comment: Twelve of eighteen respondents suggested that the major impact of the system on administrative performance should be reflected in: (a) the review of performance, and (b) in strategies to improve performance. The same number stated that there should be more emphasis on strategies to improve performance and on the resultant benefits to the institution.

Table 17

The Impact of Systematic Performance Appraisal
on Professional Development Programs and Activities

Desired Approach/Practice	Actual Approach/Practice
Systematic performance appraisal should have a significant impact on professional development programs and activities.	Most systems have limited impact in generating professional development programs and activities.

Comment: Fourteen of eighteen respondents reported that professional development strategies should be a primary benefit of senior management performance appraisal systems. However, the same number (fourteen) reported that there was a limited relationship between systematic performance appraisal process and professional development activities and programs. One reason frequently offered was that funding for professional development programs is not a significant financial priority in the institutional budget planning process.

Table 18

The Impact of Systematic Performance Appraisal
of Senior Managers on Assessment of Presidential Performance

Desired Approach/Practice	Actual Approach/Practice
<p>Assessment of senior administrative performance should have some linkage to approaches in assessing presidential performance. There was no consensus as to whether it should be a systematic linkage.</p>	<p>Evaluation of senior management does have impact on evaluation of college presidents. Systematic evaluation of senior management has limited impact on evaluation of college president.</p>

Comment: Fourteen of eighteen respondents did not indicate that the systematic performance appraisal of senior managers was a primary component of the evaluation of the college president. However twelve saw evaluation of senior management, generally, as a primary concern in assessing the performance of the president.

General Views on System
For System Management Evaluation
Employed at Respondent's Institution

This section provides an insight into the respondent's views of performance appraisal system employed at their respective institutions. The tables provide an assessment of current practices/approaches in relation to purpose of system: salary, retention, promotion, professional development, and organizational development.

Table 19
 Prioritized Purposes of Current System
 of Performance Appraisal at Sample Institutions

Desired Approach/Practice	Actual Approach/Practice
1. Professional Development	1. Evaluation of Performance
2. Improvement of Performance	2. Organizational Development
3. Organizational Development	3. Improvement of Performance
4. Evaluation of Performance	4. Professional Development

Comment: Consensus responses are ranked according to order of importance as perceived by twelve out of eighteen of the sample population. This assessment is consistent with the sample population's view of the general status of performance appraisal purposes.

Table 20

Relationship of Current System of Performance Appraisal
to Salary, Retention, Promotion at Sample Institutions

Desired Approach/Practice	Actual Approach/Practice
Should have some relationship to salary; limited relationship to retention and promotion.	Has a limited relationship to salary, retention, and promotion.

Comment: Twelve of eighteen respondents reported that determination of salary increases, merit awards, and bonuses should have some relationship to performance appraisal systems. The same number felt, however, that institutions make such decisions outside of systematic evaluation processes. A consensus of the population (fourteen) sample rejected a direct relationship between systematic performance appraisal and retention/promotion decisions.

Table 21

Relationship of Current System of Performance Appraisal to Professional Development Activities in Sample Institutions

Desired Approach/Practice	Actual Approach/Practice
Design of system should reflect a strong relationship to professional development activities and programs.	At most institutions, the design of system does not reflect a clear relationship to professional development activities and programs.

Comment: The design of most systems (thirteen) did not reflect a strong relationship to professional development activities and programs. Twelve of the respondents indicated a concern to improve the linkage between systematic performance appraisal and professional development activities.

Table 22

Relationship of Current System of Performance Appraisal
to Organizational Development in Sample Institutions

Desired Approach/Practice	Actual Approach/Practice
There should be a strong relationship between systematic performance appraisal and the organizational development of the institution.	There was no consensus on the status of the relationship between systematic performance appraisal and organizational development of the institution.

Comment: Twelve of eighteen respondents called for a strong relationship between performance appraisal and organizational development. Ten of the sample population viewed systematic performance appraisal of senior management as an essential element in the assessment of the organizational performance of the institution.

General Views of the Role of the President
in Determining the Significance and Function
of Senior Management Performance Appraisal Systems

This section concerns the views of the sample population on the role of the college president in the systematic evaluation process. The Tables provide the general views of respondents on the role of the president in the development of purpose and design of the system, the deployment of administrative time and energy in systematic appraisal, conditioning benefits to the institution as a result of the evaluation process, and determining the role of senior management in the evaluation process.

Table 23

The Role of the College President
in the Development of the Purpose and the Design
of Senior Management Performance Appraisal Systems

Desired Approach/Practice	Actual Approach/Practice
The president should have major responsibility in developing and determining purpose and design of the performance appraisal system.	The president has major responsibility in developing and determining purpose and design of the performance appraisal system.

Comment: All respondents (eighteen) favored a central role for the president in developing purpose and design of management performance appraisal systems. However, two institutions operate under a centralized senior management performance appraisal system in which a central office determines purpose and design of the system. Notwithstanding, at most institutions (sixteen), the president is viewed as the primary administrative resource in the development of the purpose and the design of the system.

Table 24

The Role of the College President

in Determining the Deployment of Administrative Time and Energy in the Systematic Appraisal of Senior Administrators

Desired Approach/Practice	Actual Approach/Practice
The president has the major responsibility in setting the evaluation atmosphere. The implementation of the system should reflect a productive use of administrative time and energy.	In most situations, the system does not reflect a meaningful use of administrative time and energy.

Comment: Thirteen of eighteen respondents indicated that the choice of the design of current systems did not reflect a strong commitment of administrative time and energy. Eleven respondents indicated that what happens as a result of performance appraisal conditions the deployment of administrative time and energy. The vast majority of the sample population (sixteen) did, however, view that the college president has the major responsibility of insuring that systematic performance appraisal reflects a productive use of administrative time and energy.

Table 25

The Role of the College President
in Assessing the Benefits to the Institution
From the Systematic Performance Appraisal Process

Desired Approach/Practice	Actual Approach/Practice
The college president has the major responsibility in assessing benefits to the institution as a result of the performance appraisal system.	There was no consensus as to the potential benefits to the institution as a result of existing performance appraisal systems.

Comment: A majority of the sample population (eleven) had great difficulty identifying direct benefits to the institution as a result of the current performance appraisal system. The same number also viewed the role of president as the key in conditioning a beneficial impact to the institution as a result of the process. Fourteen of the respondents saw the president as having the major responsibility in assessing the benefits to the institution as a result of the performance appraisal system.

Table 26

The Role of the College President in Determining
the Role of Senior Managers in Development, Design,
and Implementation of Performance Appraisal Systems

Desired Approach/Practice	Actual Approach/Practice
The college president should provide an opportunity for senior managers to participate in the planning, design, and assessment of evaluation systems.	There was no consensus as to the degree of participation by senior management in the planning, design, and assessment of the performance appraisal systems.

Comment: There was no consensus as to the degree of participation by senior managers in the process of planning, design, and assessment of management performance appraisal systems. Twelve agreed that senior managers should participate in assessing the effectiveness of the evaluation system. Fourteen supported a strong role for the senior management team in the design of the system. Some presidents (three) were cautious in allowing a high degree of participation and evaluation of the performance appraisal system.

Phase Two Interviews

The second interview scheduled with the sample population called for the use of a managerial practice instrument. Through a search of pertinent literature, the investigator identified twenty common managerial practices of college presidents which could potentially benefit the significance and function of performance appraisal systems.

The managerial practice instrument included both a significance and performance rating scale. In the significance scale, there were four Likert-type response categories: very significant, significant, little significance, no significance. Respondents were asked to rate each general managerial practice in relation to its degree of significance in the systematic performance appraisal process.

In the performance scale, there were four Likert-type response categories: strongly agree, agree, uncertain, disagree. Respondents were asked to rate each general managerial practice in relation to the degree of managerial behavior exhibited by the sample college presidents.

Respondents were told that in the significance scale their rating should be consistent with their perception of "desired" managerial practices of a college president in the performance appraisal process. In the performance scale, the sample population was asked to rate the performance of

the college president in relation to "actual" managerial practices.

The data were collected in an interview atmosphere at each institution with each respondent. Instruments were scored by totaling the sum of scores on all twenty managerial practices, providing for each respondent a significance score and a performance score.

The researcher was interested in finding out if there was a significant difference in total scores of presidents, chief academic affairs officers, and chief student affairs officers in ratings of the level of significance and the degree of performance. To measure whether a difference did exist between the group significance scores of presidents, academic affairs officers, and student affairs officers, the researcher used an analysis of variance with an alpha of .05. From the analysis of variance, he found that there was no significant difference in the significance scores between groups. All groups--presidents and both groups of senior administrators--rated the significance level of the general managerial practices of college presidents with a similar degree of consistency. Therefore, the null hypothesis could not be rejected:

H₁ - There is no significant difference between the perception of the president and senior administrators in relation to the level of significance of general managerial practices which influence the significance and function of performance appraisal.

Tables 27, 28, and 29 present the mean significance scores of each group. In Table 27, academic affairs officers have a mean score of 3.7, as a group. Most of their scores fell between the "significant" and "very significant" categories in their rating of general managerial practices. The mean significance scores for both presidents and student affairs officers was 3.4. All three groups, then, agreed that the identified managerial practices are significant in the administration of a performance appraisal process.

Table 28 presents the mean scores of all groups in rating the significance of each general managerial practice. This again illustrates that there is general agreement between and among groups as to the significance of the identified general managerial practices.

The researcher was also interested in determining if a difference existed between group performance scores of presidents, academic affairs officers, and student affairs officers. An analysis of variance was used with an alpha level of .05. He found that there was no significant difference between the scores of all three groups. All groups rated the performance level of the general managerial practices of the college presidents with a similar degree of consistency. The second null hypothesis was not rejected.

H₂ -- There is no significant difference between the response of presidents and senior administrators in the

consistency of performance exhibited by selected college presidents in relation to the identified general managerial practices.

The researcher found no significant difference in all three groups in how the college president is perceived in relation to the degree of managerial behavior exhibited in the management of the performance appraisal process. How presidents believed they were perceived was not much different than how they were perceived by senior administrators in the sample population.

Table 29 presents the mean performance scores of academic affairs officers. The mean score of 2.56 seems to indicate that most of the ratings on the Likert Scale fell between "uncertain" and "agree."

In Table 30, the mean score for student affairs officers was lower (2.46). In estimating others' perception of their performance, the presidents, as a group, had a mean score of 2.8.

Table 31 reflects the mean scores of all groups in rating the performance level of the college president in relation to the general managerial practices. From this, one may observe that most of the ratings fall in the middle between "uncertain" and "agree" on the performance Likert Scale.

Table 27

Significance Scale Scores

Chief Student Affairs Officers Rating the Significance
of General Managerial Practices of College Presidents

Question	Institution						Mean
	A	B	C	D	E	F	
1	4	2	4	4	2	4	3.3
2	3	3	4	3	3	4	3.3
3	4	4	4	3	4	4	3.8
4	4	4	4	4	4	4	4.0
5	4	4	4	4	4	4	4.0
6	4	3	4	4	4	4	3.8
7	4	4	4	3	2	4	3.4
8	4	4	4	4	4	4	4.0
9	4	4	4	3	4	4	3.8
10	4	4	4	3	3	4	3.7
11	4	4	4	3	4	4	3.8
12	4	3	4	4	3	4	3.7
13	4	4	4	3	3	4	3.7
14	4	4	4	2	3	4	3.3
15	3	4	4	4	4	4	3.8
16	3	4	4	2	3	4	3.3
17	4	4	4	3	4	3	3.7
18	4	4	4	3	2	4	3.5
19	4	3	4	3	3	3	3.3
20	4	4	4	4	4	4	4.0
Mean	3.9	3.7	4.0	3.3	3.4	3.9	3.7

Table 28

Significance Scale Scores

Chief Academic Affairs Officers Rating the Significance
of General Managerial Practices of College Presidents

Question	Institution						Mean
	A	B	C	D	E	F	
1	3	3	4	3	3	3	3.2
2	3	4	4	3	3	3	3.3
3	3	4	4	2	4	3	3.3
4	3	4	4	4	3	3	3.5
5	4	4	4	4	3	2	3.5
6	2	3	4	4	4	3	3.3
7	4	4	3	4	4	4	3.8
8	4	4	4	3	3	4	3.7
9	2	4	4	3	3	4	3.3
10	3	4	4	3	3	2	3.2
11	3	4	4	3	3	4	3.5
12	3	4	4	4	2	4	3.5
13	3	4	4	4	2	4	3.5
14	3	4	4	4	3	4	3.7
15	3	4	4	4	4	3	3.7
16	2	4	4	3	3	2	3.0
17	2	4	4	3	3	4	3.3
18	2	3	4	4	3	3	3.2
19	3	3	2	4	3	3	3.0
20	3	4	3	4	4	3	3.5
Mean	2.9	3.8	3.8	3.5	3.2	3.3	3.4

Table 29
Significance Scale Scores
of College Presidents in Rating
the Significance of General Managerial Practices

Question	Institution						Mean
	A	B	C	D	E	F	
1	4	1	3	3	3	2	2.8
2	4	2	2	2	3	3	2.8
3	4	1	4	3	4	4	3.5
4	3	3	3	4	4	4	3.7
5	3	3	2	4	4	4	3.5
6	4	2	3	4	4	3	3.5
7	3	3	4	4	4	4	3.8
8	4	3	4	3	4	3	3.7
9	4	3	3	3	4	3	3.5
10	4	2	4	3	4	4	3.7
11	4	2	4	3	4	2	3.3
12	4	1	3	4	4	2	3.2
13	3	3	3	3	3	3	3.0
14	4	3	2	4	3	4	3.5
15	4	3	2	4	4	2	3.3
16	4	1	3	3	4	2	3.0
17	4	3	4	2	4	4	3.7
18	4	1	3	2	4	2	2.8
19	3	1	4	4	4	2	3.2
20	3	2	4	4	4	4	3.7
Mean	3.7	3.2	3.2	3.3	3.8	3.1	3.4

Table 30
Comparative Scores in Rating the Significance
of General Managerial Practices of College Presidents

Question	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
A																				
President	4	4	4	3	3	4	3	4	4	4	4	4	3	4	4	4	4	4	3	3
Chief Academic Affairs Officer	3	3	3	3	4	2	4	4	2	3	3	3	3	3	3	2	2	2	3	3
Chief Student Affairs Officer	4	3	4	4	4	4	4	4	4	4	4	4	4	4	3	3	4	4	4	4
B																				
President	2	3	2	4	4	3	4	4	4	3	3	2	4	4	4	2	4	2	2	3
Chief Academic Affairs Officer	3	4	4	4	4	3	4	4	4	4	4	4	4	4	4	4	4	3	3	4
Chief Student Affairs Officer	2	3	4	4	4	3	4	4	4	4	4	3	4	4	4	4	4	4	3	4
C																				
President	3	2	4	3	2	3	4	4	3	4	4	3	3	2	2	3	4	3	4	4
Chief Academic Affairs Officer	4	4	4	4	4	4	3	4	4	4	4	4	4	4	4	4	4	4	2	3
Chief Student Affairs Officer	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4
D																				
President	3	2	3	4	4	4	4	3	3	3	3	4	3	4	4	3	2	2	4	4
Chief Academic Affairs Officer	3	3	2	4	4	4	4	3	3	3	3	4	4	4	4	3	3	4	4	4
Chief Student Affairs Officer	4	3	3	4	4	4	3	4	3	3	3	4	3	2	4	2	3	3	3	4
E																				
President	3	3	4	4	4	4	4	4	4	4	4	4	3	3	4	4	4	4	4	4
Chief Academic Affairs Officer	3	3	4	3	3	4	4	3	3	3	3	2	2	3	4	3	3	3	3	4
Chief Student Affairs Officer	2	3	4	4	4	4	2	4	4	3	4	3	3	3	4	3	4	2	3	4
F																				
President	2	3	4	4	4	3	4	3	3	4	2	2	3	4	2	2	4	2	2	4
Chief Academic Affairs Officer	3	3	3	3	2	3	4	4	4	2	4	4	4	4	3	2	4	3	3	3
Chief Student Affairs Officer	4	4	4	4	4	4	4	4	4	4	4	4	4	3	4	4	3	4	3	3
Mean Score	3.1	3.2	3.6	3.7	3.7	3.6	3.7	3.6	3.6	3.5	3.6	3.4	3.4	3.4	3.6	3.6	3.1	3.6	3.1	3.2

Table 31

Performance Scale Scores

Chief Academic Affairs Officers Rating the Degree
of Managerial Practice Exhibited by College Presidents

Question	Institution						Mean
	A	B	C	D	E	F	
1	2	4	2	1	2	1	2.0
2	3	4	2	4	2	1	2.7
3	2	4	1	2	1	3	2.2
4	2	4	3	1	1	3	2.3
5	4	3	3	1	2	3	2.7
6	2	4	3	3	3	1	2.7
7	4	4	3	3	4	2	3.3
8	4	4	2	2	3	3	3.0
9	2	4	2	2	3	1	2.3
10	3	4	2	2	4	3	3.0
11	1	4	2	2	2	3	2.3
12	2	4	2	2	3	1	2.3
13	2	4	2	2	2	3	2.5
14	2	4	2	3	2	1	2.3
15	2	4	3	3	3	3	3.0
16	2	4	2	3	2	1	2.3
17	2	4	2	3	4	1	2.7
18	2	3	3	3	3	1	2.5
19	2	2	2	2	2	1	1.8
20	2	4	2	3	1	3	2.5
Mean	2.4	3.8	2.3	2.4	2.5	2.0	2.6

Table 32

Performance Scale Scores

Chief Student Affairs Officers Rating the Degree
of Managerial Practice Exhibited by College Presidents

Question	Institution						Mean
	A	B	C	D	E	F	
1	3	1	2	2	3	1	2.0
2	3	3	1	3	1	2	2.2
3	2	4	1	3	1	1	2.0
4	1	4	2	1	1	1	1.7
5	1	4	2	1	1	2	1.8
6	3	4	1	3	1	1	2.2
7	4	1	2	4	3	3	3.2
8	4	4	3	4	2	2	3.3
9	2	4	2	2	2	1	2.3
10	4	4	1	4	1	1	2.5
11	4	2	3	4	4	2	3.2
12	3	2	1	3	1	2	2.0
13	4	4	1	1	4	2	2.7
14	3	4	2	3	1	1	2.3
15	3	4	1	3	3	1	2.5
16	1	2	1	3	1	2	1.7
17	4	4	2	3	4	2	3.2
18	4	4	1	1	3	1	2.5
19	4	2	2	3	4	2	2.8
20	4	4	1	3	4	4	3.3
Mean	3.1	3.3	1.6	2.8	2.4	1.7	2.5

Table 33
Performance Scale Scores
College Presidents Rating the Degree
of Managerial Practice Exhibited by College Presidents

Question	A	B	C	D	E	F	Mean
1	2	1	3	3	3	1	2.2
2	3	3	4	2	2	3	2.8
3	3	3	2	3	1	4	2.7
4	1	3	3	4	2	4	2.8
5	3	3	2	3	3	4	3.0
6	2	3	1	4	2	2	2.3
7	3	4	4	4	4	4	3.8
8	2	3	3	3	2	2	2.5
9	3	3	4	3	4	3	3.3
10	3	3	3	3	4	3	3.2
11	2	2	4	4	3	1	2.7
12	3	2	2	4	3	2	2.7
13	3	3	1	3	4	2	2.7
14	3	4	2	4	1	3	2.8
15	3	4	3	4	4	3	3.5
16	2	2	2	3	3	1	2.2
17	3	3	3	2	3	3	2.8
18	2	1	2	2	1	3	1.8
19	2	1	3	4	3	1	2.3
20	3	3	4	4	2	4	3.3
Mean	2.6	2.7	2.8	3.3	2.7	2.7	2.8

Table 34

Comparative Scores in Rating the Degree
of Managerial Practice Exhibited by College Presidents

Question	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
A																				
President	2	3	3	1	3	2	3	2	3	3	2	3	3	3	3	2	3	2	2	3
Chief Academic Affairs Officer	2	3	2	2	4	2	4	4	2	3	1	2	2	2	2	2	2	2	2	2
Chief Student Affairs Officer	3	3	2	1	1	3	4	4	2	4	4	3	4	3	3	1	4	4	4	4
B																				
President	1	3	3	3	3	3	4	3	3	3	2	2	3	4	4	2	3	1	1	3
Chief Academic Affairs Officer	4	4	4	4	3	4	4	4	4	4	4	4	4	4	4	4	4	3	2	4
Chief Student Affairs Officer	1	3	4	4	4	4	2	4	4	4	2	2	4	4	4	2	4	4	2	4
C																				
President	3	4	2	3	2	1	4	3	4	3	4	2	1	2	3	2	3	3	3	4
Chief Academic Affairs Officer	2	2	1	3	3	3	3	2	2	2	2	2	2	2	3	2	2	3	2	2
Chief Student Affairs Officer	2	3	3	1	1	3	4	4	2	4	4	3	1	3	3	3	3	2	3	3
D																				
President	3	2	3	4	3	4	4	3	3	3	4	4	3	4	4	3	2	2	4	4
Chief Academic Affairs Officer	2	2	1	1	2	3	4	3	3	4	2	3	2	2	3	2	4	3	2	1
Chief Student Affairs Officer	3	1	1	1	1	1	4	3	2	1	4	1	4	1	3	1	4	3	4	4
E																				
President	3	2	1	2	3	2	4	2	4	4	3	3	4	1	4	3	3	1	3	2
Chief Academic Affairs Officer	2	2	1	1	2	3	4	3	3	4	2	3	2	2	3	2	4	3	2	1
Chief Student Affairs Officer	3	1	1	1	1	1	4	3	3	1	4	1	4	1	3	1	4	3	4	4
F																				
President	1	3	4	4	2	4	2	3	3	1	2	2	3	3	1	3	3	3	1	4
Chief Academic Affairs Officer	1	1	3	3	3	1	2	3	1	3	3	1	3	1	3	1	1	1	1	3
Chief Student Affairs Officer	1	2	1	1	2	1	3	2	1	1	2	2	2	1	1	2	2	1	2	4
Mean Score	2.3	2.6	2.3	2.3	2.4	2.5	3.3	3.0	2.7	2.8	2.8	2.3	2.7	2.5	2.9	2.2	2.9	2.3	2.1	3.1

Finding no significant difference between groups in tabulating and analyzing significance scores and performance scores, the researcher sought to determine if a difference existed between the significance scores and the performance scores for each of the groups. To analyze this, he used a T-Test for repeated measures on the same subject (.05 level of significance). He found that the presidents' group differed to the $P < .01$ level, that chief academic affairs officers differed to the $P < .01$ level, and that chief student affairs officers differed to the $P < .005$ level.

The researcher interprets the above findings as revealing no significant difference between groups in significance scores and performance scores. However, when the significance scores and performance scores are treated as repeated measures on the same subject, the researcher found that there was a significant difference to the .01 level on how presidents, academic affairs officers, and student affairs officers perceived the role of the president in relation to the "real" and the "ideal." This is indicative of a significant discrepancy between the "desired" managerial practices in performance appraisal and the "actual" managerial practices.

Assessment of Current Approaches and Practices

In assessing the current appraisal systems and practices at selected institutions, this researcher must acknowledge the influence of current practices in other institutions of higher education, or writers on the subject, and of his own professional experience.

In all of the selected institutions, there is a formal appraisal system for evaluating senior administrative personnel. However, the degree of formality or managerial sophistication varies greatly. At four of the institutions, the formal system is functional on an annual basis. Two institutions operate with a bi-annual review process. However, all institutions reported that there is no established system for long-term review of senior administrative performance, i.e., at two- or five-year intervals.

Four of the colleges employ the use of the same form or instrument for evaluation of both administrative and staff personnel. Most instruments employ a rating or short-answer narrative response. Some form of self-evaluation is utilized in completing the written evaluation instrument at all of the institutions.

In reviewing the instruments, the researcher determined that the major emphasis is on the assessment of personal traits and managerial behaviors and tasks, with limited relationship to operational planning objectives. It should

be noted that two of the institutions are in the process of implementing "the planning objective design" as a major component of formal evaluation. However, considering the size of the institution and the complexity of the design, there is little interest and support in Maine, Vermont, and New Hampshire systems for incorporating a senior management evaluation system where management by objectives is the primary mode.

Underlying the importance of incorporating management information data into the formal performance appraisal process, there seems to be a limited relationship at most institutions between the operational planning objectives of a particular administrative service area and the formal evaluation of senior management personnel. In fact, four institutions do not function under a procedure for identifying annual service area planning objectives. The generation of annual report data and the analysis of that information seems to lie outside the process of administrative performance appraisal at these institutions. A formal data base for evaluating managerial and operational functions of a particular service area has not been developed to a high degree of sophistication at a majority of the institutions. One college has, however, at least identified the need to develop a formal data base for evaluating the operations of administrative service areas for the express purpose of

improving the performance appraisal process for administrative personnel.

Interviews with college presidents of the selected institutions underscore the researcher's observation that the evaluation system in place is not formally progressive from year to year nor clearly related to the professional development activities of administrative personnel. While all of the colleges expressed a commitment to administrative staff development, there appeared to be only a limited relationship between current professional development activities and the assessment results of the formal administrative evaluation process. Among established evaluation systems, greater emphasis is placed on assessment of organizational behavior than on improvement of organizational behavior.

Interviews with senior administrators at each of the institutions in the sample supported the assumption that most administrators seem to view the formal evaluation process as mechanistic, having only superficial influence. More importance seems to be placed on the informal systems, communications, and mechanisms of administrative evaluation. Indeed, all of the presidents viewed informal evaluation communications as having great influence in the assessment of administrative performance. The weight on significance attached, as well as presumptions of communications, seem to

be left to presidential judgment.

Two of the institutions reported significant involvement in the design of the formal evaluation process by senior administrative teams. In most cases, however, the design of the evaluation system was a product of a particular administrator of the president's office staff. All of the presidents gave "lip service" to the conviction that if the evaluation system is to be changed or modified, it should be a result of wide input from senior management teams.

In all institutions, there are separate systems and procedures for evaluation of senior management personnel and the performance appraisal of the president. In fact, in analyzing each formal system, there seems to be a low or limited relationship between the evaluation of the college president and the evaluation of the institute's senior management team. As one president stated:

In considering organizational performance of the institution, the following evaluation effort should be integral: (1) the evaluation of the president, (2) the evaluation of the senior management team, and (3) the evaluation of senior administrators. Considering the overall health of the higher education enterprise, the evaluation of the senior management

team probably should receive as much attention as the evaluation of administrators and presidents.

General Findings

1. All respondents agreed that the college president is the key managerial resource in determining the significance and function of senior management performance appraisal. This is consistent with the literature of the field.

2. All of the respondents agreed that the role of the college president in systematic performance appraisal is reflected in the managerial practices he/she displays in developing, implementing, and monitoring evaluation systems.

3. There were no significant differences among the perceptions of selected college presidents, academic affairs officers and student affairs officers with reference to designation of managerial practices that influence the significance and function of performance appraisal systems.

4. There were no significant differences among the responses of selected college presidents, academic affairs officers, and student affairs officers in relation to the consistency of managerial practices exhibited by the sample college presidents in the administration of senior personnel evaluation systems.

5. In all of the colleges in the sample, a managerial discrepancy exists between the "desired" managerial practices of the college president in senior management performance appraisal and his/her "actual" managerial practices.

6. Presidents, academic affairs officers, and student affairs officers in the sample were consistent in their ranking of identified general managerial practices as having a significant influence on systematic senior personnel evaluation.

CHAPTER V

CONCLUSIONS

Introduction

The focus of this study has been on the exploration of the relationship between systematic performance appraisal of senior administrators and the role of the college president in the process. This research endeavor was an effort to discover how a chief executive's managerial behavior influences the importance and utility of systematic performance evaluation as an institutional function. In investigating the role of the president, the researcher chose as a frame of reference general managerial practices of college presidents which the literature regards as having influence on the significance and function of performance appraisal systems. This undertaking was based on the assumption that the role of the college president might be reflected in his/her managerial practices in the development, implementation, and monitoring of performance appraisal systems.

The study was designed to compare the perceptions of a sample population of college presidents and senior administrators in relation to identified general managerial practices. The aims were: (a) to determine if the sample population agreed that the general managerial practices,

identified in the literature, were significant in the administration of performance appraisal systems; (b) to compare the performance of college presidents in the sample with the identified general managerial practices; (c) to find out if there were important discrepancies between what the sample population saw as the "desired" approaches/practices to performance appraisal as compared to their perception of the "actual" approaches/practices; (d) to assess the status of systematic senior management performance appraisal as a management function in a college; and (e) to see if there was a congruence within the sample population in identifying the president as a key administrative resource in the performance appraisal process.

Discussion of General Findings and Conclusions

General managerial practices. As reported in the findings, the presidents, academic affairs officers, and student affairs officers in the sample were consistent in rating the identified general managerial practices having a significant influence on the senior management evaluation process. There is an inference here that the sample population reflects a high degree of agreement among themselves, and with the literature, as to how performance appraisal systems should be administered. This congruence in the perception of the "ideal" or the "desired" may not, however, be any

indication of zeal for pursuing the ideal. The responses may have been conditioned by a desire to provide the socially acceptable answers or to give "lip service" to something that may be desirable but not important enough to pursue.

Even though it was found that there is agreement as to how appraisal systems should be managed, there is little support for inferring the strength of that concern. The desire to bring about an organizational change in how something is done is often influenced by the strength of the conviction to make it happen (Drucker, 1977, pp. 82-83). When the strength of conviction is not known, the level of motivation remains questionable.

In analyzing the significance attached by respondents to general practices prescribed in the literature, the researcher discerned that what they reported as "desirable" may not be an accurate description of what they wanted to see happen. The college presidents and senior administrators within the sample may have been expressing a preference, not so much for a particular practice as for simply a change in practice. The consistency of the sample in rating the general practices as "significant" may be indicative that what is "desired" is improvement in senior administrative evaluation as an institutional endeavor.

Consistency of managerial practice. As reported in the general findings, there were no significant differences among the responses of selected college presidents, academic affairs officers, and student affairs officers as to the consistency in performance of sample college presidents in relation to the general managerial practices. Little can be inferred from this finding. There is an indication, however, that the college presidents in the sample do not, as a group, follow the practices identified in the literature and given "lip service" by the presidents in the interviews.

Managerial discrepancy. Comparison of the perceptions of the sample population in relation to the presidents' "desired" managerial practices and his/her "actual" managerial discrepancies. This leads to speculation as to why they exist. Unfortunately, this study represents an effort only to identify managerial discrepancies, not to explore reasons supporting their existence. However, the significance of managerial discrepancies has been a concern of this research endeavor. Findings in the tabulation of the managerial behavior instrument illustrate that there is a significant discrepancy among the sample population between "desired" managerial practices and "actual" managerial practices in the administration of performance appraisal systems. Results of the Phase One interview process also lead to the inference that there is a significant

discrepancy in managerial approaches in relation to why, how, and what happens as a result of the performance appraisal process. Drucker (1977) pointed out that in assessing the efficiency of a management function, such as performance appraisal, the specific purpose of the effort, the method of achievement, and the resultant benefits to the enterprise must be integrated dimensions in calculating its importance (pp. 27-29). Significant discrepancies between "desired" managerial approaches and "actual" managerial approaches in the administration of performance appraisal systems in relation to why, how, and what happens as a result of the process should be relevant in assessing its importance as an administrative endeavor.

Considering the question of why we should evaluate performance, the findings indicate that professional development should be a major purpose of evaluation. In the assessment of the actual practices, however, professional development is assigned a low priority. The assessment of evaluation as a function must be rooted in its purpose. What ends are to be served? It is incumbent on the chief executives to clarify why and what they are doing and to make sure that how they are doing it is consistent with the purpose. The findings of this inquiry reveal, however, a significant discrepancy between expressed purpose in performance appraisal and the actual situation.

In the current methods of performance appraisal among the sample institutions, there is a significant discrepancy between preferred and actual operating methods. From the responses of the sample population, the elements of the "desired" methods--(a) relationship to job function; (b) relationship to professional development and improvement of performance; (c) relationship to operation of service area and organizational development of institution; (d) establishment of a progressive system supporting longitudinal assessment from year to year; and (e) establishment of a continual, positive evaluation atmosphere--seem to indicate the need for sophisticated modes/methods in performance appraisal. However, a review of current methods presents a picture of methods which are simple, sporadic, and not progressive, with little emphasis on either growth of individual or institution. There is no alternative to inferring a significant discrepancy between "actual" methods and "desired" methods.

The test of the performance appraisal process is what happens because of it, what the benefits are to the individual and the institution. Responses from the sample agree that performance appraisal as a management function should provide benefits in the development of the institution. Some of the benefits would be: (a) improvement of performance and, as a result, improvement in quality of service;

(b) improvement in allocation of human resources and, as a result, improvement in allocation of institutional resources; and, finally, (c) improvement in the performance of the president and, as a result, improvement in the organizational performance of the institution. This should be the anticipated long- and short-range results of the process. However, in considering the inconsistencies between why it is done and how it is done, one finds that there is little support for the conclusion that this is what happens as a result of current approaches and practices in systematic senior management performance appraisal in the sample institutions. Most of these desired benefits are accidental to the process or weak by-products of the systematic mode. This all supports the inference that there is a significant discrepancy among the sample institutions between the "desired" results and benefits and the "actual" results and benefits of performance appraisal.

The writer reasons that the managerial discrepancies identified in this study are not only a condition, but a cause as well. Because of the degree of the discrepancy between what is said to be desired and what actually happens, the discrepancy itself is a significant factor in impeding the development of the type of approaches/practices desired. Also, there is support for the inference that concern for incorporating the "desired" approaches/practices

may not represent a strong managerial commitment because even though they voice what they should do, their choice of approaches/practices would seem to reflect a lack of interest in really making it happen.

Status as a management function. An objective of this study was to assess the importance of systematic performance appraisal as an administrative function. An analysis of the findings points to the conclusion that systematic performance appraisal is not a significant organizational endeavor in the sample institutions. This was inferred from: (a) the managerial discrepancy between "desired" approaches/practices and the "actual" approaches/practices, (b) the dearth of administrative time and energy allocated to the process, (c) the modest degree of sophistication of performance appraisal systems, and (d) the lack of consistency in the sample in explaining or indicating the benefits to the institution as a result of the systematic approach. In reviewing current approaches/practices in the sample institutions, the researcher found that the allocation of administrative time in developing the system, in implementing the system, and in assessing the institutional value as a result of the system, did not suggest that these activities had been assigned a very high priority. Determination of why, how, or what happens as a result is not inherent in most current practices within the sample institution.

The modes and methods employed in performance appraisal in the sample institutions are not developed to a high degree of sophistication. The rating and short-answer narrative (the most frequently used method) calls for a minimum of time and energy. They do not lend themselves to comprehensive assessment of individual performance or lead to organizational development. They do not indicate what happens as a result of the process. From the point of view of both presidents and senior administrators in the sample, the systematic process has little relationship to the professional development of the administrator. This lack of sophistication in the methods is probably responsible for the inconsistent reports of the benefits to the institution as a result of the process. If systematic performance appraisal should be a planned administrative function, then it would follow that the results of the process should provide readily identifiable benefits to the institution. Most of the respondents had difficulty in providing information as to the institutional benefits in performance appraisal. Moreover, most saw organizational development as a potential benefit given only superficial consideration.

All of the above leads to the conclusion that, within the sample institutions, systematic performance appraisal of senior administrators was not a well-developed or sophisticated organizational endeavor.

Key role of the college president. The sample population viewed the college president as a key managerial resource in determining the significance and function of the senior management performance appraisal process. Significance refers to the president's role in creating a managerial atmosphere where systematic performance appraisal is a meaningful administrative endeavor (see "Definition of Terms"). Function has reference to the president's role in determining the why, how, and what happens as a result of systematic appraisal.

A chief executive's approach to an administrative function, such as planning, is often visible in the managerial practices and behaviors he/she chooses to organize, implement, and assess the function. In analyzing the current managerial approach of the sample college presidents in performance appraisal, the researcher found that there was a managerial discrepancy between "desired" and "actual" managerial practices. As stated previously, there is support for the determination that this is a significant discrepancy in reference to its degree of influence on the evaluation process. The degree of difference and inconsistency between what a president desires as a managerial approach and his/her actual approach should have some bearing on determining the impediments in accomplishing or developing the desired approaches. A review of the responses of the sample

demonstrates a concern for why presidents do not administer the performance appraisal process as they said they desired. Reasons associated with explaining managerial discrepancy are only a matter of conjecture. This issue will be explored in the section "Implications for Further Research," later in this chapter.

General Conclusions

1. Significant managerial discrepancies between "desired" approaches to senior administrator evaluation and "actual" practice, particularly with reference to why, how, and what happens as a consequence of the process, diminish the value of the evaluative process.

2. The significant managerial discrepancies that exist are an impediment to creating an atmosphere and an inclination to bring about practices more consistent with what presidents and senior administrators agree are desirable.

Limitations of Study

The restrictions in methodology as they pertain to this study are as follows: (1) The study population could not be randomly clustered in experimental or control groups.

(2) The anonymity of the respondents precluded more specific or personalized descriptions and analyses of responses.

(3) Finally, the results have generally been attributed to

multiple causes (Best, 1977, pp. 145-152).

Additionally, some of the attitudes assessed in the open-ended responses of the interview format may have been influenced by unneutralized, extraneous conditions, such as the administrative experience of the respondent, the influence of the informal evaluation atmosphere at each of the sample institutions, and the personal relationships between respective college presidents and their senior administrators.

The major limitation is that the results of this study are not generally applicable to institutions outside the sample. The methodology, with modifications, should have some merit for assessing the status of senior management evaluation in small public higher education institutions. The major change in the methodology, recommended by this researcher, would be to incorporate a three-phase interview schedule. The third interview would be to discuss the results of Phase One and Phase Two with respondents, the purpose being to explore the reasons associated with managerial discrepancies.

Areas For Further Research

In terms of further research, there is a need to explore factors which cause significant managerial discrepancies in the administration of senior personnel evaluation

systems. One can assume that discrepancies will always exist in the management of a function between what is desired or preferred and what is actually happening. However, since the degree of the discrepancy can influence the organizational development of institutions, there may be a value in determining if the managerial discrepancies in performance appraisal exist because of: (a) a lack of interest or level of conviction on the part of college presidents to bring about the "desired," (b) a need for training in how to manage systematic performance appraisal, (c) a need for further research in determining why and how in systematic performance appraisal, and (d) a need to generate support for the argument that senior management performance appraisal should have systematic linkage to the evaluation of the college president.

A major recommendation of this writer as an area for further research is the discovery of reasons explaining the disinclination of college presidents to manage performance appraisal as "desired." It may be because a college president cannot rely on a formal evaluation process to give the totality of opinion, feelings, and perceptions about an individual. The effort to make the personnel file or an evaluation system the major basis for personnel decisions may be too narrow. This is because most formal evaluation systems are almost exclusively written, although some of

them include interview or observation situations. Even then, most of the interviews or observations are in some way committed to a written report. Given the fact that they are written, they are a record open to examination and, therefore, open to challenge from all kinds of people. As a result, presidents may feel that the written record has become less useful for giving negative information and is increasingly becoming a device that collects favorable or relatively neutral information that will not cause the contributor to be challenged. The aspect of the protection of individual rights and the right of property in a job that has emerged in recent times, has greatly diminished the value of the written record. Because of these deficiencies in the written record, the college president must increasingly rely on collecting information about a person's performance in less structured, less formal, and unrecorded ways.

In addition, the managerial discrepancy may exist because, in the management of a systematic process, the college president surrenders evaluation to a system. In making a commitment to a structure which determines why, how, and what happens as a result of the process, the executive yields power. This includes a managerial risk. By its very nature, the formal process often calls for the president to delegate a portion of his/her decision-making

authority. It conditions the loss of some control over how personnel decisions are made and the generation of the data they are based on. A college president may not be inclined to surrender this type of control. He/she may merely want to create an appearance of delegating control to the process. This could possibly be an explanation of the frequent deployment of evaluation systems where determinations as to what happens as a result of the process are difficult to identify. As a result, some chief executives may view senior management evaluation more as operating within the managerial judgment of the president than as a product of an institutional function.

Lastly, there is a need to investigate methods for providing opportunities for college presidents and senior administrators to improve the managerial performance of the college president in developing, implementing, and monitoring evaluation systems. Because the college president is the key administrative resource in the process, he/she is also a key administrative resource in bringing about the modifications in the process in conditioning that it is a meaningful administrative endeavor.

Footnotes

¹In Investigating Social Research, Douglas (1974) discusses at length the advantages of subjective professional judgment in studying one's own group:

Some of the best field research is done by people who are already members of the setting they study. In those cases, the beginning is not that much of a problem and they are able far more easily to tell what mixture of methods is likely to rank best. (p. 36)

Since the researcher was an experienced senior administrator in a small public higher education institution, his professional experience was a factor in classifying and analyzing responses.

Diesing states that:

In qualitative methods, the researcher is necessarily involved in the lives of the subjects . . . and even more than this involvement, the researcher must identify and empathize with his or her subjects, in order to understand them from their own frame of reference. (Bogdan & Taylor, 1976, p. 8)

Since the researcher was a senior administrator, it seemed that to ignore his ability to contribute directly to the raw data of the study would have been at variance with

one of the purposes of the study--to compare the perceptions of senior administrators in relation to the perceptions of college presidents.

BIBLIOGRAPHY

- Anderson, H. B. The rating game. Wall Street Journal, May 23, 1978, pp. 1, 36.
- Anderson, L. F. The organizational character of American colleges and universities. In T. Lunsford (Ed.), The study of academic administration. Boulder, Colorado: Western Interstate Commission for Higher Education, 1963.
- Anderson, L. G. The evaluation of academic administrators: principles, processes, and outcomes. University Park, Pennsylvania State University, 1975. (ED 129 198)
- Argyris, C. Understanding organizational behavior. Homewood, Illinois: Dorsey Press, Inc., 1960.
- Argyris, C. Integrating the individual and the organization. New York: John Wiley & Sons, 1964.
- Argyris, C. Increasing leadership effectiveness. New York: John Wiley & Sons, 1976.
- Bacharach, S. B., & Lawler, E. J. Power and politics in organizations: the social psychology of conflict, coalitions, and bargaining. San Francisco: Jossey-Bass, September 1980.
- Balderston, F. E. Managing today's university. San Francisco: Jossey-Bass, 1974.
- Baldrige, J. V. Academic governance. Berkeley, California: McCutchan Publishing Corporation, 1971.
- Baldrige, J. V., Curtis, D. V., Ecker, G., & Riley, G. L. Policy making and effective leadership. San Francisco: Jossey-Bass, 1978.
- Baldrige, J. V., Curtis, D. V., Ecker, G., Riley, G. L., & Tierney, M. L. New approaches to management: creating practical systems of management information and management by objectives. San Francisco: Jossey-Bass, 1979.
- Beach, R. H. The development of basic evaluative procedures. Utility management programs with provision for practical applications. Florida State University, 1978.
- Becker, H. S. Sociological work: method and substance. Chicago: Aldine, 1970.

- Bedsole, D. T. Austin College: institution-wide career development. In C. H. Farmer (Ed.), Administrator evaluation: concepts, methods, cases in higher education. Richmond, Virginia: Higher Education Leadership and Management Society, 1979.
- Bergman, B. A., & Siegel, A. I. Training evaluation and student achievement measure. Lowry Air Force Base, Colorado: United States Air Force Technical Training Division, 1972.
- Berquist, W. G., & McGee, K. I. The evaluation and diagnosis of collegiate administration. Paper presented at American Association for Higher Education Conference, Chicago, March 8, 1976. Mimeographed.
- Berquist, W. G. & Tenbrink, G. J. Evaluation of administrators. In A. S. Knowles (Ed.), The international encyclopedia of higher education (Vol. 4). San Francisco: Jossey-Bass, 1978.
- Berte, N. R., & O'Neil, E. H. Growth contracting for administrator evaluation and development. In C. H. Farmer (Ed.), Administrator evaluation: concepts, methods, cases in higher education. Richmond, Virginia: Higher Education Leadership and Management Society, 1979.
- Best, J. Research in education. Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1977.
- Blake, R. R., Mouton, J. S., & Williams, M. S. The academic administrator grid: a guide to developing effective management teams. San Francisco: Jossey-Bass, 1981.
- Bogue, F. G. Administrative malpractice: the limits of common sense. Educational Record, Winter 1978, pp. 77-86.
- Boyer, R. K. & Grasha, A. F. Theoretical issues and practical strategies for administrative development. In J. A. Shtogren (Ed.), Administrative development in higher education. Richmond, Virginia: Higher Education Leadership and Management Society, 1978.
- Boylan, H. R. Approaching accountability: some steps along the way. NASPA Journal, April 1973, pp. 322-327.
- Brookshire, M. L. & Ralley, E. H. Management development and training in higher education-the HEMI Project. The Journal of the College and University Personnel Association, Fall 1978, 29, 35-46.

- Brown, D. Leadership vitality. Washington: American Council on Education.
- Buchele, R. The management of business and public organizations. New York: McGraw-Hill, 1977.
- Cangemi, J. P. Leadership characteristics of business executives appropriate for leaders in higher education. Education, 1975, 95, 229-232.
- Carroll, S. J., & Tosi, H. L. Management by objectives. New York: MacMillan, 1973.
- Cartwright, A. B. The search committee process in administrative selection. Indiana University, 1976.
- Chonich, M. N. A model for the implementation, review, and refinement of a management system in an institution of higher learning. The University of Michigan, 1979.
- Chronister, J. I. Implementing management by objectives. Community College Review, Spring 1974, pp. 61-69.
- Chruden, H. J., & Sherman, W. A. Personnel Management. Cincinnati: Southwestern Publishing, 1972.
- Clifford, E. W. Evaluation: by the numbers . . . and more. Paper presented at Regional Seminar on Evaluation of Administrators in Higher Education sponsored by American Association of University Administrators, November 18, 1976. Mimeographed.
- Cousins, A., & Rogus, J. F. Evaluating academic administrators--from below. Liberal Education, March 1977, pp. 91-101.
- Cowley, W. H. Presidents, professors, and trustees. In D. T. Williams, Jr. (Ed.), The evolution of American academic government. San Francisco: Jossey-Bass, 1980.
- Dalkey, N. & Helmer, O. An experimental application of the Delphi method to the use of experts. Memorandum R-M-727-PR, Rand Corporation, July 1962.
- Deegan, A. X., & Fritz, R. J. MBO goes to college. Boulder, Colorado: University of Colorado, 1975.
- Degroot, A. D. Methodology: foundations of inference and research in the behavioral sciences. Belgium: Mouton & Co., 1969.

- Denzin, N. K. (Ed.). The research act: a theoretic introduction to sociological methods. Chicago: Aldine, 1970.
- Denzin, N. K. (Ed.). Sociological methods: a sourcebook. Chicago: Aldine, 1970.
- Dressel, P. L. Evaluation of the environment, the process, and the result of higher education. In A. S. Knowles (Ed.), Handbook of college and university administrators. New York: McGraw-Hill, 1972.
- Dressel, P. L. Handbook of academic evaluation. San Francisco: Jossey-Bass, 1976.
- Drucker, P. F. The practice of management. New York: Harper & Row, 1954.
- Drucker, P. F. Managing for results. New York: Harper & Row, 1964.
- Drucker, P. F. The effective executive. New York: Harper & Row, 1966.
- Drucker, P. F. The age of discontinuity. New York: Harper & Row, 1968.
- Drucker, P. F. Managing the public service institution. The Public Interest, Fall 1973, pp. 43-60.
- Eble, K. E. The art of administration: a guide for academic administrators. San Francisco: Jossey-Bass, 1978.
- Ellins, J. G. Factors affecting attitudes and morale in relation to job security and job satisfaction for administrators below the rank of dean, not possessing academic rank, in twenty private institutions of higher learning in southeastern United States. University of Alabama, 1966.
- Etzioni, A. Two approaches to organizational analysis: a critique and a suggestion. Administrative Science Quarterly, 1960, 5, 257-278.
- Etzioni, A. A modern organization. Englewood Cliffs, New Jersey: Prentice-Hall, 1964.
- Farmer, C. H. The faculty role in administrator evaluation. In C. F. Fisher (Ed.), New directions for higher education. San Francisco: Jossey-Bass, 1978.

- Farmer, C. H. (Ed.). How can administrators be evaluated? Administrator evaluation: concepts, methods, cases in higher education. Richmond, Virginia: Higher Education Leadership and Management Society, 1979a.
- Farmer, C. H. (Ed.). Rating scales for evaluating administrators. Administrator evaluation: concepts, methods, cases in higher education. Richmond, Virginia: Higher Education Leadership and Management Society, 1979b.
- Farmer, C. H. (Ed.). University of Tulsa: overrated rating scales. Administrator evaluation: concepts, methods, cases in higher education. Richmond, Virginia: Higher Education Leadership and Management Society, 1979c.
- Farmer, C. H. (Ed.). Who should evaluate administrators? Administrator evaluation: concepts, methods, cases in higher education. Richmond, Virginia: Higher Education Leadership and Management Society, 1979d.
- Farmer, C. H. (Ed.). Why evaluate administrators? Administrator evaluation: concepts, methods, cases in higher education. Richmond, Virginia: Higher Education Leadership and Management Society, 1979e.
- Fastinger, L., & Katz, D. (Eds.). Research Methods in the Behavioral Sciences. New York: Dryden, 1953.
- Fenker, R. M. The evaluation of university faculty and administrators: a case study. Journal of Higher Education, November/December 1975, 46, 665-686.
- Filstead, W. J. (Ed.). Qualitative methodology: firsthand involvement with the social world. Chicago: Markham, 1970.
- Fisher, C. F. Evaluation and development of college administrations. Cambridge: Balinger Publishing Co., 1976.
- Fisher, C. F. The evaluation and development of college and university administrators. Research Currents. Washington, D.C.: American Association for Higher Education, March 1977. (ED 136 707)
- Fisher, C. F. Proposal of a working idea . . . a national academy for leadership development in postsecondary education. Washington, D.C.: American Council on Education, April 1977. Mimeographed.

- Fisher, C. F. The evaluation and development of college and university administrators, part two: professional development of administrators. AAHE-ERIC/Higher Education, June 1977b. (ED 139 363)
- Fisher, C. F. (Ed.). Developing and evaluating administrative leadership, new directions for higher education: a quarterly sourcebook. San Francisco: Jossey-Bass, 1978.
- Fisher, C. F., & Coll-Pardo, I. 1980 guide to leadership development opportunities for college and university administrators. Washington, D.C.: American Council on Education, 1980.
- Fisher, C. F., & Galloway, S. W. A guide to professional development opportunities for college and university administrations. Washington, D.C.: American Council on Education, 1977.
- Fisher, M. B. & Howell, J. A. Evaluation and accountability. NASPA Journal, October 1972, 10, 118-123.
- French, W. Organizational development objectives, assumptions and strategies. California Management Review, Winter 1969, pp. 23-24.
- Galbraith, J. R. Organization design. Reading, Massachusetts: Addison-Wesley Publishing Co., 1977.
- Galligan, E. I. We've got a problem: impolite speculation on higher education. AAUP Bulletin, April 1977, pp. 50-52.
- Geneva, W. J., Madoff, M. K., Chin, R., & Thomas, G. B. Mutual benefit evaluation of faculty and administrators in higher education. Cambridge: Ballinger, 1976.
- Gexard, M. G. A study of administrative performance in higher education using an in-basket as a simulated situation. New York University, 1969.
- Glaser, B., & Strauss, A. The discovery of grounded theory: strategies for qualitative research. Chicago: Aldine, 1967.
- Goldenbaum, D. M. Formal training for administrators: effective? In J. A. Shtogren (Ed.), Administrative development in higher education. Richmond, Virginia: Higher Education Leadership and Management Society, 1978.

- Gould, J. & Kold, W. L. A dictionary of the social sciences. New York: The Free Press, 1964.
- Greaves, J. A. An analysis and comparison of the non-academic administration-organizational patterns at selected state institutions of higher learning in south-eastern United States. University of Alabama, 1966.
- Griffan, G. & Burk, D. R. Appraising administrative operations: a guide for universities and colleges. Berkeley: University of California Systemwide Administration, 1976.
- Griffiths, D. E. (Ed.). Developing taxonomies of organizational behavior in education administration. Chicago: Rand McNally & Company, 1969.
- Gross, R. F. Faculty growth contracts. Educational Horizons, Winter 1976-77, p. 76.
- Gross, R. F. Facilitating administrator development through growth contracts. Council for the Advancement of Small Colleges/American Association for Higher Education Conference on Evaluation and Development of Administrators, February 4, 1977. Mimeographed.
- Haberman, M. Evaluating deans: a guide to assessment of leadership in schools of education. The Journal of Teacher Education, Summer 1972, pp. 126-268.
- Hall, J., & Leidecher, J. K. Lateral relations in organizations: theory and application. In P. E. Connor (Ed.), Decisions in modern management. Boston: Houghton-Mifflin Co., 1974.
- Halpin, A. W. & Croft, D. B. The organizational climate of schools. Chicago: Midwest Administration Center, the University of Chicago, 1963.
- Hanley, D. L. Evaluating a president. AGB Reports, March/April 1975.
- Hanson, E. M. Educational administration and organizational behavior. Boston: Allyn & Bacon, Inc., 1979.
- Hardy, J. M. Assessing performance: the key to renewal. Corporate planning for nonprofit organizations. New York: Association Press, 1972.

- Harvey, L. J. Managing colleges and universities by objectives. Wheaton, Illinois: Ireland Educational Corporation, 1975.
- Hayes, G. D. Evaluating a president: the Minnesota plan. AGB Reports, September/October 1976, pp. 5-9.
- Hayes, G. D. Comments on increasing the number of women in educational administration. Paper presented to the American Association for Higher Education, Chicago, March 1978.
- Hennig, M., & Jardim, A. The managerial woman. New York: Anchor Press/Doubleday, 1977.
- Hersey, P., & Blanchard, K. H. Management of organizational behavior: utilizing human resources. Englewood Cliffs, New Jersey: Prentice-Hall, 1977.
- Heynerman, A. E., & DeMetsenacre, M. A. How am I doing?-- A new approach to performance evaluation. The Journal of the College and University Personnel Association, May 1972, pp. 21-52.
- Higher Education Management Institute. Management development and training program for colleges and universities: program handbook. Coconut Grove, Florida: Higher Education Management Institute, 1978. (ED 159 946)
- Hillway, R. Evaluating college and university administration. Intellect, April 1973, pp. 426-427.
- Hodgkinson, H. I. Adult development: implications for faculty and administrators. Education Record, Fall 1974, pp. 263-274.
- Hodgkinson, H. L., & others. Improving and assessing performance evaluations in higher education. Berkeley: Center for Research and Development in Higher Education, University of California, 1974.
- Hostrop, R. W. Managing education for results. Palm Springs: ETC Publications, 1975.
- Hoyle, J. R. To evaluate a dean. Intellect, November 1973, pp. 96-97.
- Hyatt, S. A. A behavioral study of management and leadership in higher education. Ohio State University, 1969.

- Ingram, R. T., & Associates. Handbook of college and university trusteeship: a practical guide for trustees, chief executives, and other leaders responsible for developing effective governing boards. San Francisco: Jossey-Bass, April 1980.
- Jarvis, Fred. Center Focus. Durham, New Hampshire: Center for Constructive Change, Summer 1979.
- Jedamus, P., Peterson, M. W., & Associates. Improving academic management: a handbook of planning and institutional research. San Francisco: Jossey-Bass, December 1980.
- Kahn, R. L., & Canell, C. F. The dynamics of interviewing: theory, technique, and cases. New York: John Wiley & Sons, 1962.
- Kanter, R. M. Power failure in management circuits. Harvard Business Review, July/August 1979.
- Katz, R. L. Skills of an effective administrator. Harvard Business Review, 1975.
- Katz, R. L., & Kahn, R. L. The social psychology of organizations. New York: John Wiley & Sons, 1966.
- Kauffman, J. F. The new college president: expectations and realities. Educational Record, 1977, 58, 146-168.
- Kaufman, R. A. Educational system planning. Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1972.
- Kimberly, J. R., Miles, R. H., & Associates. The organizational cycle: issues in the creation, transformation, and decline of organizations. San Francisco: Jossey-Bass, 1979.
- Koontz, H. Appraising managers as managers. New York: McGraw-Hill, 1971.
- Lahti, R. E. Developing leadership for management of higher education. College and University Business, May 1970, pp. 61-64.
- Lahti, R. E. Goal-oriented evaluation for educational managers. Phi Delta Kappa, March 1973, 54, 490-491.
- Lahti, R. E. Innovative college management. San Francisco: Jossey-Bass, 1973.

- Lahti, R. E. Improving performance appraisals. Community and Junior College Journal, March 1975, pp. 8-10.
- Lahti, R. E. Managerial performance and appraisal. In C. F. Fisher (Ed.), New directions for higher education. San Francisco: Jossey-Bass, 1978.
- Levinson, H. Appraisal of what performance. Harvard Business Review, 1972, 50, 61.
- Likert, R. New patterns of management. New York: McGraw Hill, 1961.
- Likert, R. The human organization: its management and value. New York: McGraw-Hill, 1976.
- Lindquist, J. Approaches to administrative development: a synthesis. In J. A. Shtogren (Ed.), Administrative development in higher education. Richmond, Virginia: Higher Education Leadership and Management Society, 1978.
- Lippitt, G. L. Organization renewal. New York: Appleton-Century-Crofts, 1969.
- Mager, R. F. Preparing instructional objectives. Palo Alto, California: Fearon Publishers, 1962.
- Mager, R. F., & Pipe, P. Analyzing performance problems. Belmont, California: Fearon Publishers, 1970.
- Mager, R. F., & Pipe, P. Goal analysis. Belmont, California: Fearon publishers, 1972.
- Mali, P. Managing by objectives. New York: John Wiley & Sons, 1972.
- Mayhew, L. B. Surviving the eighties: strategies and procedures for solving fiscal and enrollment problems. San Francisco: Jossey-Bass, 1979.
- McCarthy, J. J. A descriptive analysis of the role of the college president in senior management evaluation systems. Comprehensive examination, Graduate School of the University of Massachusetts, 1980.
- McGrath, E. J. The evaluation of administrative offices in institutions of higher education from 1860 to 1933. University of Chicago, 1936.

- McInnes, W. C. A statement of rights for college administrators. Journal of Higher Education, May 1971, p. 380.
- Miller, D. P., & Whitcomb, D. B. The gestalt of a workshop program for academic leaders. In J. A. Shtogren (Ed.), Administrative development in higher education. Richmond, Virginia: Higher Education Leadership and Management Society, 1978.
- Miller, K. I. Developing programs for faculty evaluation. San Francisco: Jossey-Bass, 1974.
- Millett, J. D. The academic community. New York: McGraw-Hill, 1961.
- Millett, J. D. Development of professional administrators. International encyclopedia of education. San Francisco: Jossey-Bass, 1977.
- Millett, J. D. New structures of campus power: success and failures of emerging forms of institutional governance. San Francisco: Jossey-Bass, 1978.
- Mortimer, K. P., & McConnell, T. R. Sharing authority effectively: participating, interaction, and discretion. San Francisco: Jossey-Bass, 1978.
- Munitz, B. Measuring a president's performance. AGB Reports, January/February 1967a, pp. 36-40.
- Munitz, B. Strengthening institutional leadership. In C. Fisher (Ed.), New directions for higher education. San Francisco: Jossey-Bass, 1978.
- Myers, C., & Pigons, P. Personnel administration. San Francisco: McGraw-Hill, 1977.
- National Association of Student Personnel Administrators. Administrators have rights, too, NASPA affirms (text of Statement of desirable conditions and standards for maximum effectiveness of the college administrator). College & University Business, June 1970, pp. 46-48.
- Nordvall, R. C. Evaluation of college administrators: where are we now? NASPA Journal, Fall 1977, pp. 53-60.

- Nordvall, R. C. The evaluation and development of college administrators: theories and practices. ERIC Research Report. Washington, D.C.: American Association for Higher Education, 1979.
- Nossen, R. Perils and pitfalls: limitations of evaluation systems. Paper presented at the American Association of University Administrators' Conference on Administrator Evaluation, Pittsburg, November 19, 1976.
- Oaklief, C. R. The critical incident technique: research applications in the administration of adult and continuing education. Paper presented at Adult Education Research Conference, Toronto, Canada, April 1976.
(ED 123 388)
- Oberg, W. Make performance appraisal relevant. Harvard Business Review, 1972, 50, 61.
- Oxnam, R. F. The college president in California: a study of some elements in college administration. The University of Southern California, 1948.
- Pace, C. R. Thoughts on evaluation in higher education. Iowa City: American College Testing Program, 1972.
(ED 066 132)
- Perkins, J. A. The university as an organization. New York: McGraw-Hill, 1973.
- Perry, R. R. Appraisal of criteria for evaluation of executive administration performance in public higher education in the United States. University of Toledo, 1964.
- Phipps, R. A. Administrative evaluation survey. Salisbury, Maryland: Salisbury State College, 1975. Mimeographed.
- Pohto, J. T. An operational model using the institutional goals inventory for determining the effectiveness of a college administration. University of Miami, 1976.
- Fritchard, C. H., Jr. Factors relating to the appointment of nonacademic educational administrators as presidents in selected four-year institutions of higher education. Florida State University, 1972.

- Rasmussen G. R. Evaluating the academic dean. In C. P. Fisher, (Ed.), New directions for higher education. San Francisco: Jossey-Bass, 1978.
- Rice, B. Midlife encounters: the Menninger seminars for businessmen. Psychology Today, April 1979, 12, 66-74, 95-99.
- Richardson, R. C. Staff development: a conceptual framework. Journal of Higher Education, May/June 1975, pp. 303-311.
- Riggs, R. O. Management by objectives: its utilization in the management of administrative performance. Contemporary Education, January 1972, pp. 129-133.
- Ryan, J. H. Continuing education for college and university administrators. Paper presented at the Annual Conference of the American Association for Higher Education, Chicago, March 1976. Mimeographed.
- Schermerhorn, J. R., Jr. Management by objectives and the administrator of the university affiliated facility. Paper presented at Management Improvement Workshop for Administrators of University Affiliated Facilities, sponsored by the Health Service Administration of the United States Public Health Service, New Orleans, November 1973. Mimeographed. (ED 122 138)
- Schmitz, C. D. Factors which affect job satisfaction & job dissatisfaction of academic deans. University of Missouri-Columbia, 1977.
- Schultz, R. E. The preparation of college and university administrators. Phi Delta Kappa, March 1968, pp. 390-394.
- Scott, R. A. Lords, squires, and yeomen: collegiate middle managers and their organizations (ERIC/Higher Education Research Report No. 7). Washington, D.C.: American Association for Higher Education, 1973. (ED 165 641)
- Shtogren, J. A. (Ed.). Administrative development in higher education: the state of the art. Richmond, Virginia: Higher Education Leadership and Management Society, 1978.
- Sikes, W. Organizational diagnosis: a key administrative skill. In J. A. Shtogren (Ed.), Administrative development in higher education. Richmond, Virginia: Higher Education Leadership and Management Society.

- Singer, H. A. Human values and leadership. Business Horizons, 1975, 18, 85-88.
- Skipper, C. E. Personal characteristics of effective and ineffective university leaders. College and University, Winter 1976, pp. 138-141.
- Skipper, C. E. Administrative skills of effective and ineffective university leaders. College and University, Spring 1977, pp. 276-279.
- Sprunger, B. E., & Berquist, W. G. Handbook for college administration. Washington, D.C.: Council for the Advancement of Small Colleges, 1978.
- Stewart, J. W. The identification of external pressures considered by presidents of selected state-supported institutions of higher education during the decision-making process. University of Nebraska-Lincoln, 1970.
- Stiles, L. J. Constituent evaluation for administrators. Journal of Educational Research, December 1974, inside cover.
- Stroup, H. H. Bureaucracy in higher education. New York: Free Press, 1966.
- Sturner, W. F. Action planning on the campus. Washington, D.C.: American Association of State Colleges and Universities, 1974.
- Surwill, B. J., & Heywood, S. J. Evaluation of college and university top brass: the state of the art, status report of AASCU member institutions. Washington, D.C.: American Association of State Colleges and Universities, 1976. (ED 129 142)
- Taylor, E., & Shewlik, D. Women chief executives officers in colleges and universities, table III. Comment, special edition, 1978.
- Temple, C. M. Management by objectives: its implementation within the University of Tennessee. Knoxville: Office of Institutional Research, the University of Tennessee, 1972.
- Tennebaum, A. S. Control in organizations. New York: McGraw-Hill, 1968.

- Tennebaum, A. S., Weschles, I. R., & Massarik, F. Leadership and organization. New York: McGraw-Hill, 1961.
- Thomas, G. B., Genova, W. J., Madoff, M. K., & Chin, R. Mutual benefit evaluation of administrators. The Journal of the College & University Personnel Association, Summer 1977, pp. 13-24.
- Van De Visse, M. The evaluation of administrative performance in higher education: a survey of organized evaluative practices. Kent State University, 1974.
- Van Fossem, B. The structure of social inequality. Boston: Little, Brown, and Company, 1979.
- Walker, D. E. The effective administrator: a practical approach to problem solving, decision making, and campus leadership. San Francisco: Jossey-Bass, 1979.
- Walton, J. Differential patterns of community power structures: an explanation based on interdependence. In T. Clark (Ed.), Community structure and decision making. San Francisco: Chandler, 1968.
- Webster, R. S. A new approach to institutional renewal: management development and training for colleges and universities. In J. A. Shtogren (Ed.), Administrative development in higher education. Richmond, Virginia: Higher Education Leadership and Management Society, 1978.
- Wiggins, G. A. Selecting and appraising personnel. In H. Benjamin (Ed.), Democracy in the administration of higher education. New York: Harper & Brothers, 1950.
- Wilson, H. Adaptation of selected industrial personnel procedures for use in institutions of higher education. Columbia, 1954.
- Winstead, P. C. Furman University's management planning model for liberal arts colleges. Final report to the Ford Foundation and Exxon Foundation, Furman University, Greenville, South Carolina, November 1965.
- Wolf, W. Wider horizons in psychotherapy. American Journal of Psychotherapy (Vol. XVI), January 1964.
- Zion, C. Role definition: a focus for administrative growth and evaluation. The Journal of the College & University Personnel Association, Summer 1977, 28, 5-12.

Zion, C. Creating a climate for administrative development. In J. A. Shtogren (Ed.), Administrative development in higher education. Richmond, Virginia: Higher Education Leadership and Management Society, 1978a.

Zion, C. Role definition: a focus for administrative growth and evaluation. In J. A. Shtogren (Ed.), Administrative growth in higher education. Richmond, Virginia: Higher Education Leadership and Management Society, 1978b.

INTERVIEW FORMAT

Senior Management Evaluation Systems

Date _____ Place of Interview _____

Respondent Code _____

I. Introduction

- A. Purpose of Study
- B. Assurance of Anonymity of Respondent
- C. Interest and Experience of Interviewer
- D. Sharing Results of Interviewee
- E. Explanation of Concept of Managerial Discrepancies

II. Collection of Biographic Data of Interviewee

III. General Views on Senior Management Evaluations

- A. Primary Purposes of Performance Appraisal
- B. Performance Appraisal Relationship to Job Description and Job Function
- C. Significance of Personnel Evaluation to Organizational and Professional Development
- D. Significance of Performance Appraisal as a Management Function

IV. General Views on Current Methods and Approaches to Performance Appraisal of Senior Administrative Personnel

- A. Unstructured Narration
- B. Unstructured Documentation
- C. Structured Narration
- D. Structured Documentation
- E. Management by Objectives/Planning Objectives
- F. Informal Communications

V. General Views on System of Senior Management Evaluations Employed at Respondent's Institution

- A. Significance and Purpose of System
- B. How Was It Designed, Implemented and Monitored
- C. Utility of System
- D. Relationship to Salary, Retention and Promotion
- E. Relationship to Professional Development

- F. Relationship to Performance Assessment of President
- G. Relationship to Organizational Development of Institution

VI. Leadership Role of President in Determining the Significance and Utility of Senior Management Evaluation Systems

- A. Development of Purpose
- B. Design of System
- C. Deployment of Administrative Time and Energy
- D. Role of Senior Managers in Process
- E. Role of Senior Management Team
- F. Influence of Informal Mechanisms
- G. Relationship Between Staff Development and Organizational Development

MANAGERIAL PRACTICE INSTRUMENT

Managerial Practices of College Presidents
in the Administration of Performance Appraisal Systems

Please rate the following lists of managerial practices from two frames of reference.

First: On a scale of significance in the establishment of an effective management evaluation system.

<u>No</u> <u>Significance</u>	<u>Little</u> <u>Significance</u>	<u>Significant</u>	<u>Very</u> <u>Significant</u>
1	2	3	4

Second: On a scale of performance displayed by the president at this college.

<u>Disagree</u>	<u>Uncertain</u>	<u>Agree</u>	<u>Strongly</u> <u>Agree</u>
1	2	3	4

	<u>Signifi-</u> <u>cance</u>	<u>Perform-</u> <u>ance</u>
1. The president exhibits an organized, inquisitive behavior concerning the collection of information related to the assessment of the performance of senior administrators.		
2. The president displays a strong sense of curiosity in seeking information related to the assessment of the performance of senior administrators.		
3. The president provides the primary leadership in the planning, design, and implementation of the senior management evaluation system.		
4. The president provides opportunities for senior administrators to participate in the planning and design of a senior management evaluation system.		

	Signifi- cance	Perform- ance
5.	The president seeks senior management input in the periodic evaluation of the senior administrators' performance appraisal system.	
6.	The president's behavior reflects that the senior management evaluation is a serious and meaningful deployment of administrative time and energy.	
7.	The president is an active participant in the life of the senior organizational environment; he/she is visible and accessible in the activities governing the responsibilities of his/her senior administrators.	
8.	The president's behavior conveys a clear understanding of the purpose of the senior management evaluation process to each senior administrator.	
9.	The president insures that the evaluation procedure is directly related to the job performance expectations of senior administrators.	
10.	The president insures that the evaluation procedure is directly related to the job performance expectations of the college president.	
11.	The president's behavior is consistent with the premise that senior management evaluation is a continuous endeavor and that data generated from the process is utilized in a progressive fashion in the assessment and improvement of job performance from year to year.	
12.	The president's behavior reflects a conviction that formal senior management is a necessary and potentially beneficial activity for the institution.	

	Signifi- cance	Perform- ance
13.	The president views the senior management evaluation process as directly related to the evaluation of the college president.	
14.	The president's behavior conveys that the primary purpose of senior management evaluation is to improve administrative performance.	
15.	The president's behavior conveys that the primary purpose of senior administrative evaluation is to improve the management of particular service areas and the overall operations of the institution.	
16.	The president's behavior generates support that a formal method of evaluation is more desirable and helpful than the already present continuous process of informal evaluation by itself.	
17.	The president insures that within the evaluation process there is a determination of and agreement on clear job performance goals between senior administrators and the president.	
18.	The president insures that the determination of performance goals is directly related to the evaluation system and written administrative role definitions and job descriptions.	
19.	The president's behavior insures that the administrative evaluation process should include in its design an instrument or method on a systematic approach to assess the personal and behavioral characteristics in conjunction with organizational performance.	
20.	The president supports the conviction that self-evaluation is not an integral component of the senior management evaluation process.	

